

## NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Madeleine Clayton 03/29/2001  
Departmental Forms Clearance Officer  
Office of the Chief Information Officer  
14th and Constitution Ave. NW.  
Room 6086  
Washington, DC 20230

In accordance with the Paperwork Reduction Act, OMB has taken the following action on your request for approval of the reinstatement of an information collection received on 01/08/2001.

TITLE: Northeast Region Permit Family of Forms

AGENCY FORM NUMBER(S): None

ACTION : APPROVED

OMB NO.: 0648-0202

EXPIRATION DATE: 03/31/2004

BURDEN	RESPONSES	BURDEN HOURS	BURDEN COSTS
Previous	0	0	0
New	599,391	21,035	1,368
Difference	599,391	21,035	1,368
Program Change		21,035	1,368
Adjustment		0	0

TERMS OF CLEARANCE: None

NOTE: The agency is required to display the OMB control number and inform respondents of its legal significance (see 5 CFR 1320.5(b)).

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OMB Authorizing Official Title

Donald R. Arbuckle Deputy Administrator, Office of  
Information and Regulatory Affairs

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# PAPERWORK REDUCTION ACT SUBMISSION

**Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

1. Agency/Subagency originating request	2. OMB control number <span style="float: right;">b. <input type="checkbox"/> None</span> a. _____ - _____
3. Type of information collection ( <i>check one</i> ) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested ( <i>check one</i> ) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated
	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) ( <i>if applicable</i> )	
9. Keywords	
10. Abstract	
11. Affected public ( <i>Mark primary with "P" and all others that apply with "x"</i> ) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond ( <i>check one</i> ) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden ( <i>in thousands of dollars</i> ) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection ( <i>Mark primary with "P" and all others that apply with "X"</i> ) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting ( <i>check all that apply</i> ) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission)  Name: _____ Phone: _____

## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

**NOTE:** The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator or head of MB staff for L.O.s, or of the Director of a Program or Staff Office)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

**SUPPORTING STATEMENT**  
**Federal Fisheries Permits**  
**Northeast Region**

**PERMIT FAMILY OF FORMS**  
**OMB Number 0648-0202**

**Introduction**

This submission requests renewal of Office of Management and Budget (OMB) approval for Northeast Region Permits (OMB Control No. 0648-0202) as it pertains to all the permitting requirements.

This submission includes measures that have been implemented under Framework Adjustment 24 (Framework 24), Framework Adjustment 27 (Framework 27), Framework Adjustment 32 (Framework 32), Framework Adjustment 33 (Framework 33), and Framework Adjustment 34 (Framework 34) and Amendment 12 to the Fishery Management Plan (FMP) for the Northeast Multispecies Fishery, Amendments 10 and 12 to the Surf Clam and Ocean Quahog FMP, Amendment 12 to the Summer Flounder, Scup and Black Sea Bass FMP, Amendment 8 to the Squid, Mackerel and Butterfish FMP, Amendment 1 to the Bluefish FMP, and the American Lobster FMP. This submission also adds two exemptions to Multispecies FMP. Specifically, the Southern New England Little Tunny Gillnet Exemption, and the purse seine exemption. In addition, this submission extends permitting requirements to the monkfish and herring fisheries, and extends observer requirements to the monkfish, bluefish, spiny dogfish and herring fisheries. Requests to turn off VMS units are being extended to the multispecies and monkfish fisheries under this submission as well.

In addition to the inclusion of new items, several items have been dropped from the Permit Family of Forms due to regulatory changes. The following requirements are no longer applicable: Cancellation of halibut open access permit, hailing of cod catch; request for halibut open access permit application; request for pre-printed permit application for halibut; Mid-Atlantic vessel replacement; notification of intent to fish in the NAFO regulated area; notification of planned return from NAFO regulated area into EEZ; notification of port transit if vessel under Gulf of Maine trip limit (hail report only); requests for inspection 24 hours prior to start of trip or off-loading by tuna purse seine vessels; notification of start and end trips while under the state waters exemption program; and the individual permit to sell bluefish. Furthermore, limited access permit appeals are not longer in effect for any fishery except the monkfish fishery.

## **A. JUSTIFICATION**

**1.** Under the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) the Secretary of Commerce (Secretary) has responsibility for the conservation and management of marine fishery resources off the coast of the United States. The majority of this responsibility has been delegated to the National Oceanic and Atmospheric Administration (NOAA)/National Marine Fisheries Service (NMFS).

The Secretary was given certain regulatory authorities to ensure that these resources are utilized in the most beneficial manner. The requirement of a permit for users of these resources is one of the regulatory steps taken to carry out conservation and management objectives. Section 303 (b)(1) of the Magnuson-Stevens Act specifically addresses the need for permit issuance. In addition, almost every international, Federal, state and local fishery management authority recognizes the value and use of permits as part of their respective management systems. Thus, the Secretary has promulgated rules for the issuance of Federal Fisheries Permits.

The issuance of a permit is an essential part of managing fishery resources. The purpose and use of permits is to: (1) vessel owners, vessel operators, fishing vessels, fish dealers and processors; (2) list the characteristics of fishing vessels and/or dealer/processor operations; (3) exercise influence over compliance (e.g. withhold permit issuance pending collection of unpaid penalties); (4) provide a mailing list for the dissemination of important information to the industry; (5) register participants to be considered for limited entry; and (6) provide a universe for data collection samples. Limited access (moratorium) permits are necessary to control fishing effort by managing the number of participants in a fishery. Dealer and vessel permits are necessary to ensure that data collection covers entire fisheries. Finally, vessel operator permits serve as primarily a compliance and information dissemination tool.

The permit system is an integral part of the management of fisheries in the Northeast Region of NMFS. Consolidated regulations for the fisheries included in this collection are found at 50 CFR Part 648 and 50 CFR Part 697. All of the collections included in this request have received prior approval. It would not be possible to carry out the mandates of the Magnuson-Stevens Act and other laws if approval to continue these previously approved collections were to be denied.

### **Vessel Permits**

There are two major categories of permits - open access and limited access (or moratorium). Since there are no eligibility requirements, open access permits are available to anyone who applies. Conversely, limited access permits are issued to only those applicants who meet the specific qualification requirements for a particular fishery. The permits included in this submission are for the following open and limited access fisheries: Atlantic herring, Atlantic mackerel, Atlantic sea scallop, black sea bass, bluefish, Illex squid, Loligo squid/butterfish, monkfish, Northeast Multispecies, ocean quahog, scup, spiny dogfish, summer flounder, surf clam (§648.4), and American lobster (§697.4).

Some fisheries are entirely limited access (i.e., American lobster), while others are entirely open access (i.e., bluefish and spiny dogfish). However, most of the fisheries included in the Northeast Permit Family of Forms have both limited access and open access categories. Therefore, if an applicant does not meet the eligibility requirements of a limited access fishery, they can apply for an open access permit.

Entry into limited access fisheries typically requires proof of vessel eligibility, usually in the form of documented landings of the managed species or species group to be submitted with the permit application. Eligibility for limited access fisheries is established only once, during the initial year of the program. In subsequent fishing years, the permit is reissued in the same manner as open access permits. The permit applicant will be provided a pre-printed renewal form each year on which they select the open access permits they want, and the limited access permits for which their vessel has qualified.

In 2000, there is only one fishery that requires submission of proof of eligibility for a limited access permit category, the monkfish fishery (§648.4(a)(9)). The application deadline to apply for a limited access permit in this fishery is November 7, 2000. If an initial application for the monkfish fishery is denied, the applicant may appeal the denial on the basis that the Regional Administrator erred in concluding that the vessel did not meet the eligibility criteria for this fishery. Appeals are no longer being heard for any other limited access fishery. The burdens associated with the previous limited access permit category appeals are being deleted from the approved estimates for this family of forms.

### **Vessel Replacements, Upgrades and Confirmations of Permit History**

The Replacement, Upgrade, and Permit History application (RUPH application) provides a one-step venue for applicants to request one or more of the following limited access permit actions on one form: Replacement of one vessel by another vessel; upgrade a vessel's physical characteristics (specifications); retain a vessel's limited access permit history. This form saves time and effort by guiding applicants through the process, and by including these interrelated permit actions on one form.

### **Dealer/Processor and Operator Permits**

Identification of dealer/processors is needed to obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures. The Magnuson-Stevens Act, Regulatory Flexibility Act, and Executive Orders 12866 and 13121 require the determination of these facts. This collection of information includes the following dealer permits: Atlantic herring, Atlantic mackerel, Atlantic sea scallop, black sea bass, bluefish, Illex squid, Loligo squid, butterfish, monkfish, Northeast Multispecies, ocean quahog, scup, spiny dogfish, summer flounder, surf clam (§648.6), American lobster (§697.6), and Atlantic and Pacific bluefin tuna (§635.4).

The vessel operator permit enables NMFS to send notices of proposed and approved regulatory changes to vessel operators, as well as vessel owners, improving the flow of information to the industry.

These permits are required for all operators of vessels issued Federal permits in the following fisheries: Atlantic herring, Atlantic mackerel, Atlantic sea scallop, black sea bass, bluefish, Illex squid, Loligo squid, butterfly, monkfish, Northeast Multispecies, ocean quahog, scup, spiny dogfish, surf clam (§648.5), and American lobster (§697.5).

The possible revocation of vessel dealer and operator permits helps to ensure compliance with reporting an other fishery specific regulatory requirements. Experience has shown that fines for violations of specific fishery regulations are not as effective as the threat of withdrawing or not renewing permits. Fines for fishing without a permit can be more substantial and easier to enforce than fines for other violations. Vessel owners may be willing to pay the lower fines if the violation brings enough economic benefit, but do not want to be excluded from the fishery.

### **Observer Requirements**

Any vessel holding a permit for Atlantic sea scallops, or Northeast Multispecies, or monkfish, or Atlantic mackerel, squid, butterfly, or scup, or black sea bass, or bluefish, or spiny dogfish, or Atlantic herring, or a moratorium permit for summer flounder, may be requested to carry a NMFS-approved observer or sea sampler. Observer coverage may also be required for vessels participating in any of the exemption programs established under the above listed Fishery Management Plans (FMPs). Such requests are made at the discretion of the Regional Administrator (RA) for the purpose of monitoring fishing activities, collection of data and compliance as stated under §648.11. Requests for observer coverage are made from the list of permit holders for those species.

### **Programs Authorized for Federal Permit Holders**

There are several programs authorized to the holders of Federal permits, such as exempted fisheries and vessel monitoring. Several Northeast Region FMPs allow exemptions from the regulations for fisheries conducted in a manner already consistent with the goals and objectives of the FMP. For example, the minimum mesh requirement of the summer flounder fishery is waived for a fishery that occurs in an area where the gear selectivity measure would have no significant conservation benefit (§648.104(b)(1)). Similarly, under the multispecies FMP, many exemptions have been authorized for small mesh fisheries and fisheries not requiring effort controls as each one is demonstrated to have a negligible effect on the species under protection (§648.80(a)).

The purpose of fishery exemptions is to allow federal permitted vessels to conduct fisheries that might otherwise be restricted. In this way, the social and economic impacts associated with conservation plans are lessened. The multispecies FMP anticipates the need for such exemptions. As a result, an expedited process exists at §648.80(a)(7) of the regulations for adding, deleting or modifying exempted fisheries. According to this measure, if the RA, after consultation with the New England Fisheries Management Council (NEFMC), determines that the fishery in question would have less than 5 percent



bycatch of regulated multispecies and the exemption will not jeopardize fishing mortality objectives, the exemption is allowed and added to the list of exemptions under §648.80(a).

Because exemptions provide alternatives to the often depressed fisheries managed by under a FMP, special permitting (including certificates) or Letters of Authorization (LOA) are often required to ensure compliance and consistency with the purpose of the exemption. Special permits and LOAs provide a list of participants, their period of participation, and assist the agency in compliance monitoring. Special permits and LOAs also serve to resolve confusion and delay caused when a vessel in an authorized exemption program is boarded by enforcement officers to determine whether or not the vessel is fishing illegally. Some exemptions requiring special permits or certificates include the Summer Flounder Small Mesh Exemption (§648.104(b)(1)) and the Winter Flounder State Waters Exemption (§648.80(i)). Some of the exemptions authorized under §648.80(a) of the Northeast Multispecies regulations that require a LOA include the Cultivator Shoal Whiting Fishery Exemption (§648.80(a)(4)) and the Nantucket Shoals Dogfish Fishery Exemption (§648.80(a)(9)).

The following exemptions contain collection of information requirements under OMB-0648-0202: (1) Cod trip limit exemption; (2) Summer flounder small-mesh exemption; (3) Winter flounder state waters exemption; (4) midwater trawl exemption; (5) purse seine exemption; (6) Cultivator Shoals whiting exemption; (7) Nantucket Shoals dogfish exemption; (8) Southern New England (SNE) little tunny gillnet exemption; (9) Gulf of Maine party/charter exemption; (10) Nantucket Lightship party/charter exemption; (11) state waters sea scallop exemption program; and (12) NAFO regulatory area regulatory area request.

### **Effort Reduction: Call-in Programs/Vessel Monitoring Systems (VMS)**

The principle means for monitoring fishing effort in the multispecies and monkfish limited access fisheries are through a “call-in” telephone system. Vessels allocated DAS in those fisheries must call-in to declare the start and end dates and times of directed fishing trips (§648.10(c)). In addition, vessels participating in the multispecies fishery, with the exception of vessels issued a valid Small Vessel permit, and vessels issued a Category A or B limited access monkfish permit must notify the RA through the call-in system of the commencement date of their 20-day period out of the Northeast multispecies fishery. Day gillnet vessels must utilize these same procedures to declare their required time out (as specified in (§648.82(k)(1)(iv)) of the Northeast multispecies fishery.

Conversely, the limited access sea scallop fishery relies primarily on Vessel Monitoring Systems (VMS) to monitor fishing effort. Vessels issued a full-time or part-time limited access sea scallop permit, or issued an occasional limited access permit when fishing under the Georges’ Bank Sea Scallop Exemption Program, or a scallop vessel fishing under the small dredge program must have on board an operational VMS unit that meets established minimum performance criteria (§648.9). All notification requirements for these vessels are handled through the VMS unit. Owners of vessels issued a limited access multispecies, monkfish, occasional scallop, or combination permit may elect to provide

notification requirements through a VMS unit rather than the call-in system (§648.10(c)). In all circumstances, vessels owners must provide proof of VMS installation with the vessel's permit application (§648.10(b)(1)).

Limited access vessels fishing under DAS requirements that have assisted in Coast Guard search and rescue operations or assisted in towing a disabled vessel may apply for Good Samaritan credits (§648.53(e)). This provision enables such vessels to not accrue DAS for the documented time of their assistance efforts.

Sea scallop vessels wishing to fish under the state waters exemption program (described at §648.54) must notify the RA by VMS or call-in notification (§648.10(e)). If using VMS notification, vessels must notify the RA prior to the vessel's first trip under the state waters exemption program, and prior to the vessels first planned trip back in the EEZ. If using call-in notification, vessels must notify the RA at least 7 days prior to fishing under the exemption and provide the beginning and end dates of the exemption period. Vessels using call-in notification must remain in the exemption for a minimum of 7 days. However, those wishing to withdraw early must notify the RA through the call-in system, but cannot leave port to fish in the EEZ until 48 hours after the RA has received notification of early withdrawal. This system of VMS or call-in notification will ensure that scallop vessels fishing under the state waters exemption program remain within a state's waters to be exempt from DAS, gear and possession limit requirements.

Owners or operators of surf clam and ocean quahog vessels are required to call the NMFS Office of Law Enforcement nearest to the point of offloading prior to the departure of their vessel from the dock. If a trip is postponed, canceled, or discontinued early, vessel owners or operators must immediately contact the Office of Law Enforcement to which the original notification was provided. This call in requirement is utilized strictly by NMFS Law Enforcement to facilitate enforcement of the surf clam and ocean quahog fisheries (§648.15(b)).

Vessels fishing under the Gulf of Maine cod trip limit may transit from one port to another provided that the operator notifies the RA prior to transiting (§648.86(b)(3)).

### **Gillnet Tagging Program and Category Designation**

Gillnet vessels are required to elect a gillnet category designation by selecting either the "Day gillnet" or "Trip gillnet" category on a form provided by NMFS (§648.4(c)(2)(ii)). On this same form, vessel owners who have selected the "Day gillnet" category may request the required net tags and send a check for the cost of the tags. If the maximum number of tags are not requested on the initial form, vessel owners may request additional tags at any time during the fishing year through an additional form. If any tags are lost or destroyed, the RA must be notified as soon as possible via letter or fax. The vessel owner may also request replacement tags via the same letter or fax, including a check for the

cost of the replacement tags (§648.82(k)). This tagging program helps enforce limits on the number of nets a vessel is allowed to fish at a given time.

### **Monkfish Area Declaration and Tagging Program**

Vessels participating in the monkfish DAS program that intend to fish solely in the Northern Fishery Management Area (NFMA) must declare into the area by notifying NMFS (§648.93(b)(2)). Vessels must declare into this area for a period of not less than 30 days.

In addition, monkfish vessels participating in the monkfish DAS program and using gillnet gear must obtain gillnet tags on a form provided by NMFS (§648.92(b)(8)). This form is the same form used to declare a gillnet category and order tags for the multispecies gillnet fishery.

### **Lobster Pot Area Declaration and Tagging Program**

Lobster vessels utilizing pot gear are required to designate fishing areas on a form provided by NMFS (§697.4). Vessel owners may also request the required pot tags on the same form, mailing a copy of the information with a check to the party identified on the form. This pot tagging program helps enforce limits on the number of lobster pots a vessel is allowed to fish, based on the area designated.

### **State Quota Transfer Requests**

The summer flounder, scup and bluefish fisheries are currently managed by a commercial quota allocated on a state-by-state basis. The summer flounder and bluefish quotas are annual allocations, while the scup quota is allocated to the states during the months of May through October. During the remaining months, the scup quota is allocated on a coastwise basis. All three fisheries allow states to request that quota be transferred or combined between and among states for a particular fishery (§648.100(e), §648.120(e), §648.160(f)). Requests are made in writing to the RA. Quota transfers allow flexibility among the states in managing their allocations, thereby addressing unforeseen variations and contingencies in the fisheries.

2. The information requested on the consolidated permit application forms are used by several offices of NMFS, the U.S. Coast Guard (USGD), the New England Fishery Management Council (NEFMC), the Mid-Atlantic Fishery Management Council (MAFMC), state fishery agencies, academic institutions, and other fishery research and management organizations to evaluate the management program and future management proposals. In most cases, aggregated summaries are made available, but for law enforcement, mailings, or resource allocation problems, individual permit information is often required.

Mailing lists derived from the applications provide NMFS with the assurance of reaching all concerned constituents with notices of fishery closures, regulatory changes and other important information.

## **Vessel Permit Application Forms**

The vessel permit application form is used to collect vessel permit information. Permits are issued annually or more frequently at the request of the applicant if changes are necessary. There are two vessel permit application forms - an initial form for new vessels and a renewal form for previously permitted vessels.

In Section 1 of the permit application, information such as name and address of the owner is used to identify the applicant and legal ownership of the vessel. This requirement is essential in the use of permits as a fisheries enforcement tool. For example, violations of catch regulations may result in the suspension of a vessel's permit. Since a corporation may own several vessels, identification of ownership on the application form allows NMFS to sanction the company as well as the individual vessel for repeated violations of regulations. This information is also used to provide a mailing list, as mentioned above.

A USCG documentation number, or State registration number when appropriate, serve to further identify an individual vessel. This number is especially useful in tracking permit histories to past owners, assuring that qualified vessels obtain proper moratorium permits. As more fisheries undergo moratoriums limiting the access of participants, that history becomes more and more important.

Telephone numbers are required to assist NMFS in processing the application. Possessing a telephone number for an applicant enables questions to be resolved more efficiently and inexpensively than via correspondence, thus facilitating timely issuance of the permits. Home and principal port information provides managers with information on the distribution of fishing effort and fishing communities; vital components in evaluation of socio-economic impacts of fishing regulations.

The vessel information requested in Section 2 is required for evaluation of fishing power and capacity and is used by fishery economists and researchers to estimate the impacts of the fishing fleet on a resource and perform other studies as appropriate. Information from this database is used frequently throughout the year as studies are needed.

The fishery information requested in Section 3 is used by NMFS, the Councils, and other fishery research and management organizations to evaluate the placement, qualifications and fishing methods of participants in the various fisheries. This information defines the type of permit issued to an applicant and which restrictions apply to that type of permit.

Section 4 of the initial permit application requires that the permit holder sign and date the application. A signature is required on all application forms for legal accountability and protection of the applicant.

The renewal application differs from the initial application in that each year a pre-printed application, based on the most recent permit, is mailed to each permit holder. Any changes that are necessary can

be quickly accomplished simply by noting the changes in the appropriate “Changes” column. Section 3 of the renewal application enables the vessel owner to renew permits by simply signing, and returning the form. However, if the vessel owner wants to make changes to the vessel’s permits, or if the applicant no longer owns the vessel, this can be noted on the application by checking the appropriate line in Section 3. The information provided is used by the NMFS permit office to insure that data is accurate and up-to-date.

Limited access monkfish permit applicants are the only applicants for limited access permits that currently have the ability to appeal the denial of their permit application. However, the only ground for appeal is that the Regional Administrator erred in her determination that the vessel did not meet the qualification criteria. Burden estimates associated with appeal provisions for other fisheries (i.e. lobster, multispecies hook gear) are deleted from this family of forms.

### **Vessel Replacements, Upgrades and Confirmations of Permit History**

In order to replace a vessel holding limited access permits with another vessel, upgrade a vessel’s physical characteristics, or retain a vessel’s limited access permit history, a vessel owner or authorized representative must complete an RUPH application. The purpose of this form is formalize procedures necessary to insure that vessel owners upgrade or replace vessels within the required parameters (10 percent for length overall (LOA), gross registered tonnage (GRT) and net tonnage (NT), and 20 percent for horsepower). This form also formalizes the procedures by which vessel owners may retain their vessel’s limited access permit history.

Applicants are requested to indicate the type of action being requested on the first page of the application. The instructions listed on this page then direct the applicant to the appropriate section of the application. All applicants must complete the information listed on page 2 of the application: Name of the old vessel, permit number, Coast Guard or state registration number, current owner of vessel or permit history, address of owner, telephone number of owner, owner signature. In cases where the owner no longer owns the vessel, but has retained the fishing history, a bill of sale stating the retention of history signed by both the buyer and seller must be submitted.

Section A is to be completed by applicants wishing to replace their old vessel. This section requests information pertaining to the name of the new vessel, permit number (if applicable), Coast Guard or state registration number and the type of limited access permits being transferred. In addition, applicants must submit proof of size and horsepower for both old and new vessels.

The regulations state that the replacement vessel’s LOA, GRT and NT may not exceed that of the original vessel by more than 10 percent (§648.4(a)(E)). In addition, the replacement vessel’s horsepower must not exceed that of the original vessel by more than 20 percent. The original vessel is that which first received the limited access permit for a particular fishery. The baseline is established according to the year when that fishery’s limited access permits were first issued.

Section B is completed by applicants wishing to upgrade the specifications for their vessel independent of a vessel replacement. A vessel upgrade is the increase in a vessel's size (LOA, GRT, and NT) and/or horsepower from the specifications of the baseline vessel. The regulations state that a 10 percent increase in LOA, GRT and NT (size specifications), as well as a 20 percent increase in horsepower, are allowed. Vessel size and horsepower may be upgraded independently of one another. However, increases in LOA, GRT or NT must be done at the same time (§648.4(a)(F)). This section asks for only the change in vessel specification(s) along with submission of verifying documentation.

Section C is completed by applicants wishing to retain their vessel's limited access permit history. In the event that the vessel was sold, the applicant must submit a bill of sale signed by both the buyer and seller stating that the fishing history was retained by the seller. In the instance the vessel sank or was destroyed, the applicant must submit proof of this in the form of a Coast Guard marine casualty report (or other proof of casualty) or insurance document. Once the application and supporting documents are received by NMFS a Confirmation of Permit History certificate will be processed and sent to the applicant.

Section D lists the acceptable forms and sources of verification for vessel specifications, vessel ownership, vessel history retention, and vessel sinkage or destruction. This information is necessary so that the regulations can be administered as they were written and to further the conservation goals and objectives of these fisheries (§648.4(a)(1)(i)(F)).

The number of vessel owners replacing, upgrading, or retaining their vessel's fishing history varies depending on circumstance. Thus, it is difficult to estimate how many vessel owners will need to complete an RUPH application on an annual basis.

### **Dealer/Processor and Operator Application Forms**

Dealer permits are issued annually, or more frequently if changes are requested by the applicant. Section 1 of the Dealer permit application requests information on the dealer including, vessel permit number, company name, owner name, company address, telephone and FAX number were applicable. In Section 2, the applicant selects the fisheries for which they want dealer permits. Section 3 is the signature block section where the applicant attests to the truth and accuracy of the information provided. Dealer information can be used by enforcement officers to check for regulatory infractions in all of the fisheries, and by NMFS scientists and economists as a basis for sampling. The dealer permit requirement ensures complete reporting from dealers for federally permitted fisheries. Reports furnished by permitted dealers provide important information on the volume, value and distribution of these high value, overfished stocks at the point of first purchase.

All operators of Federally permitted vessels, except summer flounder vessels, are required to have a Federal operators permit. These permits are issued every three years. The Operator Permit Application requires that the applicant provide the following information: Name, address, city, state and

zip code, telephone number, birth date, hair color, eye color, height, and weight. The applicant must include two passport sized photographs with their application to ensure positive identification and add in enforcement actions. The vessel operator permit has enabled NMFS to send notices of proposed or approved regulatory changes to vessel operators, as well as vessel owners, improving the flow of information to the industry and their ability to stay informed of regulatory changes. In addition, the issuance of permits to vessel operators serves as a compliance and information dissemination tool.

### **Observer Requirements**

Observer coverage may be required for vessels fishing in the Atlantic sea scallop, Northeast Multispecies, monkfish, Atlantic mackerel, squid, butterfish, scup, black sea bass, bluefish, spiny dogfish or summer flounder fisheries. Coverage is intermittent and occurs on less than 1 percent of all fishing trips. Owners of selected vessels are required to call to arrange deployment of observers on their vessels. These requests are made at the discretion of the RA for the purpose of monitoring fishing activities, collection of data and compliance.

### **Exemptions Under §648.80(a) and Other Exemptions**

In addition to permits, this family of forms includes several notification requirements for multispecies, sea scallop and summer flounder exemption programs, as well as compliance with the reporting regulations for all vessel permit holders.

Vessel operators seeking to participate in the exemption programs for all fisheries where such programs are authorized, may be required to obtain either a LOA or an exemption permit/certificate from NMFS during the exemption seasons. For admittance into an exemption program, the entrant may be required to notify NMFS of intent to participate, or provide entry and exit notice via a telephone call or VMS. The required information is generally collected verbally through either a telephone call or in person, and no physical application is actually completed. These LOAs or exemption permits are to be kept on board the vessel during the extent of program participation in order to verify enrollment in the exemption program. No notification or special permit is required for certain exemption programs (i.e., Southern New England Monkfish and Skate Trawl Exemption) if it has been deemed not necessary for enforcement and compliance monitoring purposes.

The information collected for participation in exemption programs consists of vessel owner name, mailing address, NMFS permit number, vessel name, and participation period. Vessels wishing to withdraw early must provide NMFS with similar information via phone call or an early withdrawal form.

### **Call-in Programs/VMS**

The data collected through the days-at-sea (DAS) effort monitoring program of the sea scallop, multispecies and monkfish fisheries is used in many analyses by NMFS, the Councils, states,

Departments of State and Commerce, OMB, Corps of Engineers, Congressional staffs, and the fishing industry and public. Furthermore, call-in notification for multispecies vessels declaring their required 20-day spawning season block of time out of the Northeast multispecies fishery, and day gillnet vessels declaring their blocks of time out of the non-exempt gillnet fishery is used by NMFS as an enforcement tool.

Vessels required to have an operational VMS unit on board must complete a form supplied by NMFS verifying that a VMS unit has been installed on the vessel and is operational. The form requests information regarding vessel name, Federal permit number, vessel documentation or state registration number, information (name, address and telephone number) on the installing dealer, date of installation, serial number of unit, and e-mail address of vessel. The form also requests responses to questions regarding whether or not the unit is operational, if operating instructions have been provided to the vessel owner, and if the vessel owner has been trained on use of the VMS unit by the vendor. Once the form has been completed, the vessel owner or authorized representative signs and dates the form, and returns it to the address listed on the form.

Scallop vessels may be exempted from DAS, gear and possession limit requirements when fishing in state waters under a state management program that has been determined by NMFS not to jeopardize the fishing mortality/effort reduction objectives of the Scallop FMP. Scallop vessels wishing to participate in the state waters exemption program are required to notify the RA by VMS prior to the vessel's first trip under this exemption program, and prior to the vessels first planned trip back in the EEZ. Scallop vessels using call-in notification must notify the RA at least 7 days prior to fishing under the exemption program and provide the following information: Owner and caller name and address, vessel name and permit number, and beginning and end dates of the exemption period. Vessels using the call-in system must also remain under the exemption for a minimum of 7 days. If such vessels remain in the exemption for a minimum of 7 days, but want to withdraw earlier than the designated end of the exemption period, they must call the RA and notify early withdrawal and provide the following information: Vessel name and permit number, name and phone number of the caller, and a statement that the vessel is withdrawing from the exemption.

This system of call-in notification will ensure that scallop boats fishing under the state exemption program in Maine, Massachusetts or New Hampshire remain within the state's waters to be exempt from the DAS, gear and possession limit restrictions. Currently, vessels with federal scallop permits in the general category may possess only 400 lb of scallop meats at any time regardless of the length of their fishing trip allowable per calendar day. The purpose of this exemption is to allow Federal scallop permit holders to compete in the state waters fishery on a more equitable basis where Federal and state laws are inconsistent, and to encourage general category vessels to fish under the exemption program and continue to submit catch and effort data. Not implementing an exemption may provide an incentive for general category vessels that target scallops to cancel their Federal permits, thereby exempting them from all Federal requirements including reporting of landings while fishing in state waters. These vessels would be able to re-apply for a general category permit at any time. It is difficult to anticipate the



enrollment in this exemption program since it is dependent directly on the independent vessel owner and frequency of participation.

### **Gillnet Tagging Program and Day Gillnet Category Designation**

Vessel owners must complete a gillnet category designation/net tag order form when applying for (either through renewal, replacement or transfer) a limited access multispecies permit.

The information requested on this form enables NMFS to monitor and track the level of participation in the multispecies gillnet fishery, and its effect on effort reduction and stock rebuilding goals of the Multispecies FMP. The first portion of the form requires that gillnet vessels select one of two gillnet category designations; “Day gillnet” or “Trip gillnet”. Owners that declare their vessel as a “Day gillnet” vessel are subject to a maximum number of gillnets, not to exceed 80 roundfish nets and 160 flatfish nets. Vessel owners who elect to fish in the Day gillnet category must also purchase the appropriate number of uniquely numbered net tags; up to but not exceeding 160 tags. Roundfish nets are required to be tagged with two tags, while flatfish nets require only one tag. If any of the original tags are lost (i.e. weather, gear conflicts), the vessel owner or representative must report the lost tags as soon as possible via letter or fax to the RA. The vessel owner may also make a request for replacement tags in the same letter or fax to the RA, including a check for the cost of the replacement tags. If the maximum number of tags are not requested on the initial form, vessel owners may request additional tags at any time during the fishing year via an additional form. To aid in enforcement and administration of the program, gillnet vessel owners are required to carry a Gillnet Fishing Certificate onboard their vessel. This Certificate identifies the category designation in which the vessel is enrolled and, if enrolled under the day gillnet designation, the amount of tags and tag numbers that were issued.

The use of a restricted number of tags prevents uncontrolled increases in the number of nets used by vessel operators in response to reductions in DAS. Day gillnet vessels typically return to port each night, after trips of 12 to 15 hours. As DAS are calculated in hours away from port, these trips resulted in more DAS than specified in the reduction schedule (i.e. two trips of 12 hours equaled one 24-hour DAS). Under this requirement, if the vessel declares into the Day gillnet category, each trip under a multispecies DAS lasting between 3 and 15 hours is counted as a minimum of 15 hours against the annual DAS allocation. Trips lasting more than 15 hours are counted in hours from the time the vessel called into a DAS until it has returned to port and called out of a DAS. Conversely, trip gillnet vessels typically remain at sea for one or more days at a time. As a result, each trip under a multispecies DAS is counted in hours from the time the vessel called into a DAS until it has returned to port and called out of a DAS.

Vessel owners that declare their vessel a “Trip gillnet” vessel are required to bring all gear to port at the end of each fishing trip. On the other hand, Day gillnet vessels can leave their gear in the water, but must declare 120 days out of the gillnet fishery, in minimum blocks of 7 days. At least 21 of these days must be taken during the period from June 1 through September 30. The purpose of the 120 day

period out of the gillnet fishery is to ensure that operators of Day gillnet vessels remove their gear from the water for a significant period of time.

### **Monkfish Gillnet Area Declaration and Tagging Program**

Prior to making a trip, vessels with limited access multispecies permits will be required to declare, for a 30 days or longer period of time, into the Northern Fishery Management Area (NFMA) to fish under the less restrictive size limit (11-inches tail-length) and trip limits. Vessels do not have to declare if they choose to fish with the more restrictive 14-inches minimum size limit. This declaration will require that the vessel fish only in the NFMA Area during the 30-day period beginning with the date of declaration. If the vessel has not made a NFMA declaration, it will be presumed that the vessel fished in the Southern Fishery Management Area (SFMA) during the trip and the more conservative restrictions will apply to the entire trip. A vessel that has declared its intent to fish only in the NFMA may transit the SFMA provided that it complies with the transiting provisions described in Section 5.4 of Monkfish FMP or §648.94(e). The area declaration is needed to ensure that vessels do not fish in the SFMA and transit the NFMA to land monkfish under the less restrictive measures that apply in the NMFA. The minimum 30-day declaration period is necessary to improve enforceability. Otherwise, vessels could rapidly switch fishing areas leading to confusion and poor compliance with the more restrictive measures of the SFMA.

Vessels holding limited access monkfish permits while fishing under a monkfish DAS are required to tag all gillnets being fished, up to a maximum of 160 gillnets. As a result, owners of vessels a holding limited access monkfish permit must complete the above mentioned gillnet category designation/net tag order form. If the vessel holds a limited access multispecies permit, vessel owners may complete this form to comply with multispecies and monkfish gillnet tagging requirements simultaneously. However, vessels issued a limited access multispecies permit designated in the Trip gillnet category that also hold a limited access monkfish permit are not required to tag gillnets used solely under a multispecies DAS. The purpose of this requirement is to control and monitor gillnet effort in the directed monkfish fishery.

### **Lobster Pot Area Declaration and Tagging Program**

Lobster vessels utilizing pot gear are required to designate fishing areas and request the required lobster trap tags on a form provided by NMFS. Part A of this form requests the following information: Name, address, city, state, zip code, vessel name, Federal permit number; vessel documentation or state registration number, and area fished. In Part B, the vessel owner specifies the number of tags being ordered, the total cost, and method of payment. Federal permit holders with lobster licenses in states having agreements with NMFS, have the option to purchase trap tags through either NMFS or their designated state agency. If the vessel owner chooses to purchase tags from an approved state agency, then Part B does not have to be completed. In Part C, the vessel owner or authorized representative signs and dates the form. This pot tagging program helps enforce limits on the number of lobster pots a vessel is allowed to fish, based on the area fished.

Once a vessel has been issued a lobster permit specifying the lobster exclusive economic zone (EEZ) management areas in which the vessel may fish, no changes to the EEZ management areas may be made for the vessel for the remainder of the fishing year, unless the vessel becomes a replacement vessel for another qualified vessel. The purpose of this provision is to increase enforceability of area designation requirements.

If tags are lost, destroyed or missing, vessel owners or operators are required to report this information to the RA as soon as feasible within 7 days after the tags have been discovered to be lost, destroyed, or missing. This notification can be made by either letter or fax. A check for the cost of the replacement tags must be received before the tags will be issued.

### **State Quota Transfers**

The summer flounder, scup and bluefish regulations allow one or more states to transfer all or part of their annual commercial quota (summer quota only for scup). In addition, two or more states implementing a state commercial quota for summer flounder, scup or bluefish may request approval from the Regional Administrator to combine all or part of their quotas into an overall regional quota. The intent of these regulations are to provide a mechanism within the overall coastwide quota to give the states flexibility in quota management in order to respond to changes in landing patterns or management in order to respond to changes in landing patterns or emergency situations. The states wishing to utilize these provisions must apply to the RA by a letter stating their intentions, including the participating states and the amount of quota involved. Requests for transfer or combination of commercial quotas for summer flounder, scup, or bluefish must be made by individual or joint letter(s) signed by the principal state official with marine fishery management responsibility and expertise, or his/her previously named designee, for each state involved. The letter(s) must certify that all pertinent state requirements have been met and identify the states involved and the amount of quota transferred or combined (§648.110(e), §648.120(e), §648.160(f)). Such requests must meet the approval of the RA. The frequency of requests are dependent upon supply and demand of a state's summer flounder, scup or bluefish quota.

3. After the initial permit issuance, permit renewal has been made simple as possible for both the public and the issuing office. The information obtained from current permits is used to prepare a computer-generated pre-printed renewal permit, which is sent to the permit holder for updating. If there are no changes in the information required on the permit, renewal requires only the applicant's signature. This feature minimizes the reporting burden on the public as well as the administrative burden on the agency.

Permit information and several applications are currently posted on the Northeast Regional Office's (NERO) web site. Posting such information on the Internet makes it widely available to the public, thereby reducing both public and administrative burden. The following permit applications that fall under the Northeast Permit Family of Forms, along with instructions, can currently be found at

<http://www.nero.nmfs.gov>: Initial Vessel Application, Vessel Operator Permit Application, RUPH Application, and Lobster Area Designation and Tag Program Application Form.

Automated reporting has been established for vessels fishing under a full-time or part-time limited access sea scallop permit, or issued and occasional limited access permit when fishing under the Georges' Bank Sea Scallop Exemption Program, or a scallop vessel fishing under the small dredge program. In addition, owners of vessels issued a limited access multispecies, monkfish, occasional scallop, or combination permit may elect to provide notification requirements through a VMS unit rather than the call-in system. The expense of the VMS unit is justified due to the scope of the fishing activity.

No other improved information collection technology has been identified to further reduce the burden associated with the Permit Family of Forms. Every effort will be made in the future to use computer technology to reduce the public burden.

4. The information to be collected through the issuance of permits or through vessel monitoring is not duplicated elsewhere. The Magnuson-Stevens Act's operational guidelines require each FMP to evaluate existing state and Federal laws that govern the fisheries in question, and the findings are made part of each FMP. Each Council membership is comprised of state and Federal officials responsible for resource management in their area. These two circumstances identify other collections that may be gathering the same or similar information. In addition, each FMP undergoes extensive public comment periods where potential applicants review the proposed permit application requirements. Therefore, NMFS is confident of similar collections if they exist.

5. Only the minimum data needed to meet the permit objectives are requested from all respondents. Since most of the respondents are small businesses, separate requirements based on the size of business have not been developed.

6. The consequences of not conducting the collection of information described in items 1 and 2 would be immense. This collection of information is necessary for a variety of reasons, from monitoring fishing effort to collecting valuable fishery information (i.e. fishing power and gears used). Furthermore, reducing the frequency of collection would also compromise the ability to monitor vessel activities, in turn affecting the enforcement of management measures.

To the extent practicable, frequency of information collection under the Permit Family of Forms has been made as minimal as much as possible. To reduce the frequency any further would compromise the intent of each collection of information requirement. For example, less frequent monitoring of vessels fishing under the multispecies and monkfish DAS programs would reduce the effectiveness of the system in helping prevent violations of DAS controls. Other examples are discussed below.

An annual request for tags is required of vessel owners participating in the multispecies gillnet, monkfish gillnet, lobster pot, and surf clam and ocean quahog fisheries. It is not useful to conduct this collection

less frequently since it is expected that tags will routinely be lost as part of doing business. Furthermore, the number of nets and pots being fished by a vessel frequently changes. In addition, annual adjustments allow for further reductions in the number of gillnets and lobster pots to be implemented if such management measures should prove necessary. Surf clam and ocean quahog tags are not reusable by design because they are associated with the use of a portion of an annual quota allocation.

The design of the cod trip limit exemption program is to afford maximum flexibility within the fishery while still accomplishing the goals of the FMP. As with other exempted fisheries, cod trip limit exemptions are issued at the convenience of the respondent. For this reason, these exemptions are issued on-demand, and may likely exceed one during the year.

**7.** Some of the requirements may not be consistent with OMB guidelines with regard to the reporting frequency. While OMB does not allow that respondents be required to report more often than quarterly, requirements for call-in/call-outs for multispecies, monkfish and scallop DAS, call-in/call-outs for blocks of time out of the non-exempt gillnet fishery, and monkfish area declaration requested with this submission will require more frequent reports.

Vessels that intend to target northeast multispecies, monkfish, or sea scallops or exceed the bycatch allowances for these species must declare that they will be on a multispecies, monkfish, or sea scallop trip prior to leaving port and upon returning port. The call-in requirement is needed to keep an accounting of DAS usage, and therefore necessary to reduce fishing mortality by limiting total fishing activity. Similarly, call-in requirements for the required blocks of time out of the non-exempt gillnet fishery and the required 20-day spawning season block are needed to ensure that vessels are complying with these measures. Monkfish area declaration is needed to ensure that vessels do not fish in the Southern Fishery Management Area and transit the Northern Fishery Management Area to land monkfish under the less restrictive measures that apply in the northern area.

**8.** As described in the response to item 4, consultation with potential applicants is assured by the FMP regulatory process. Experience with the various programs, some of which have been operating since 1981, provides a continual feedback mechanism to NMFS on issues and concerns to the applicants.

**9.** No payment or gift will be made to respondents, however, respondents may use tax-exempt Capital Construction Fund monies to purchase VMS devices because of their safety benefits.

**10.** All data collected under the Permit Family of Forms, except VMS position reports and landings slips submitted in support of a limited access permit application, are not deemed confidential under Section 402(b) of the Magnuson-Stevens Act.

**11.** There are no questions of a sensitive nature involved in this collection of information.

**12.** A full summary of the burden estimate involved in this collection of information can be found in Table 1.

The cost calculations for the permit family of forms assume an average wage and overhead cost for respondents of \$15/hour.

Preprinted permit renewal forms require an estimated 15 minutes to complete, while an initial vessel application requires an estimated 0.5 hours per response. Over the past three years, these forms have been revised and subsequently approved to include several new permit categories. These categories include the limited access monkfish permit, and open access permits for dogfish, bluefish, and herring. It is expected that 13,000 vessels will renew their Federal permits, and 9,300 vessels will submit initial vessel applications.

The right to appeal currently pertains to only one fishery under limited access or moratoria, the monkfish fishery. Vessel permit applicants may appeal the denial of their limited access monkfish permit application only on the grounds that the RA erred in concluding that the vessel did not meet the qualification criteria. To date, 70 vessel owners have appealed a monkfish permit denial. Approximately 10 more are expected as new appeals. Applicants are expected to spend approximately 3 hours gathering and presenting the documentation needed for a monkfish appeal.

Dealer permit applications (initial and renewal) take an estimated 5 minutes to complete. Currently there are approximately 900 dealers permitted in all fisheries. The vessel operator permit application is estimated to take an average of 1 hour to complete due to the color photograph submission requirement. The number of vessel operators has been estimated at 20,000 individuals; two for each vessel permitted in the multispecies fishery, and one each for vessels in the remainder of the fisheries requiring this permit. Since operator permits are renewed every three years, the burden estimate is averaged over the three years. As a result, the annual burden presented is one-third of the total estimate.

Limited access vessel upgrade or replacement applications take approximately 3 hours to complete. Applications for retention of limited access permit history require an estimated 0.5 hours. It is expected that approximately 600 applications for vessel replacements or upgrades will be received on an annual basis. Furthermore, it is expected that 300 applications for confirmation of permit histories will be received on an annual basis. Of these applicants, approximately 300 will need to verify vessel specification information, and approximately 150 will need to provide proof that the vessel is no longer seaworthy (i.e. damaged or sunk).

Limited access multispecies, combination, occasional scallop, and monkfish vessels must notify NMFS via the call-in system of the start date and end date for each fishing trip. Approximately 1,735 vessels will be monitored by means of the call in system. This number includes 1,540 multispecies vessels, 25 occasional scallop vessels and 170 limited access monkfish vessels (categories A and B only). Vessels

must notify NMFS at the start and end of each directed multispecies, scallop or monkfish trip, the commencement date of the required 20-day block of time out of the multispecies or monkfish (category A and B only) fishery, and the commencement date(s) of the required 120 days out of the multispecies non-exempt gillnet fisheries. The estimated time per response for DAS notification is 2 minutes. It is estimated to take multispecies and monkfish vessels approximately 3 minutes to declare the required 20-day spawning block. It is also estimated to take 3 minutes for multispecies vessels to declare blocks of time out of the non-exempt gillnet fishery. The notifications associated with the call-in requirement amount to 25 per vessel per year (12 months X 2 notifications per month, plus one spawning season closure notification) for the multispecies fishery, with an additional 5 notifications for non-exempt gillnet vessels. The directed monkfish fishery (category A and B vessels) is estimated to require approximately 9 notifications per year (4 trips of 10 days X 2 notifications per trip, plus one spawning season closure notification). For category C and D monkfish vessels, the reporting burden is included in the reporting burden for multispecies and scallop vessels. The occasional scallop fishery is estimated to require up to 20 notifications per year (10 DAS X 2 notifications).

The burden of vessel monitoring for full-time and part-time limited access scallop vessels or authorized multispecies, combination and occasional scallop vessels is estimated to be 1 hour for installation of VMS unit, 5 minutes for verification of installation of VMS unit, and 5 seconds per poll for automated polling of vessel position. Approximately 252 scallop vessels and 30 multispecies and monkfish vessels report via the VMS system. The total number of VMS polls is estimated to be 359,280 for the sea scallop fishery. This number is based upon 14,970 estimated total days fished during a season multiplied by 24 polls per day. Assuming a total of 2,600 days fished for the multispecies and monkfish vessels authorized to use a VMS unit, the total number of estimated VMS polls is 62,400. Vessels required to have a fully functional VMS unit at all times may request to turn off the VMS (power down exemption) at approximately 30 minutes per request.

Approximately 150 observer deployments are requested of federally permitted vessels annually. Owners of selected vessels are required to call and arrange deployment of observers on their vessels. Calls are estimated to take 2 minutes each. Availability of observers is considered the limiting factor in the extent of coverage for this program.

Limited access vessels fishing under DAS requirements that have assisted in Coast Guard search and rescue operations or assisted in towing a disabled vessel may apply for Good Samaritan credits at a burden of 30 minutes per applicant. It is estimated that approximately 20 vessels will request Good Samaritan credits annually.

It is difficult to completely estimate the burden associated with the exemption programs since the frequency of participation will be determined entirely by the vessel owner. Owners or operators of vessels seeking to participate in the Cultivator Shoals whiting, mid-water trawl, purse seine, Nantucket Shoals dogfish, Southern New England (SNE) little tunny gillnet, or Gulf of Maine (GOM) cod landing limit exemption programs must request a letter of authorization from the Regional Administrator (letter

of authorization). The estimated time required to request a letter of authorization is 5 minutes. Approximately 40 vessels are estimated to participate in the Cultivator Shoals exemption; 12 vessels in the mid-water trawl exemption; 10 vessels in the purse seine exemption; 40 vessels in the Nantucket Shoals dogfish exemption; 40 vessels in the SNE little tunny gillnet exemption; and 1,700 vessels in the GOM cod landing limit exemption. For each admittance into an exemption program, the calculation of burden reflects the time associated with filing and entry and exit notice, whether it be requesting a letter of authorization or special permit/certificate.

Vessels fishing in the NAFO Regulatory Area that wish to be exempt from multispecies regulations while transiting the EEZ with multispecies on board, or landing multispecies in U.S. ports must request a letter of authorization (5 minutes) in addition to possessing a valid High Seas Fishing Compliance permit under 50 CFR Part 300. Approximately 50 vessels are expected to request such authorization.

Owners of charter/party vessels intending to fish in the Nantucket Lightship Closure Area must request a letter of authorization from the Regional Administrator, estimated to take 5 minutes. Vessels fishing under Charter/Party regulations in Gulf of Maine closed areas must obtain a Charter/Party Exemption Certificate for Gulf of Main Closed Areas, at an estimated 5 minutes per request. Approximately 50 vessels are expected to participate each of these exemptions.

Owners of summer flounder vessels seeking to participate in the summer flounder small mesh exempted fishery must apply for a permit from the Regional Administrator, at an estimated 5 minutes per application. Vessels participating in the state waters winter flounder exemption must obtain a certificate approved by the Regional Administrator and issued by the state agency authorizing the vessel's participation in the exempted fishery. The request for such a certificate is estimated to take 2 minutes. Approximately 200 vessels are expected to participate in the summer flounder exemption, and approximately 300 vessels are expected to participate in the winter flounder exemption.

Limited access sea scallop vessels wishing to participate in the state waters exemption program must notify the Regional Administrator by VMS or call-in notification. Furthermore, general scallop permit holders wishing to participate in the state waters possession limit exemption program must notify the RA through either VMS or call-in notification. Participants in the sea scallop state waters exemption program using VMS notification must notify the Regional Administrator prior to the first trip in the exemption program and prior to the first planned trip in the EEZ, at an estimated 2 minutes per response. Participants in these exemption programs using call-in system must notify the Regional Administrator at least 7 days prior to fishing under the exemption, at an estimated 2 minutes per call. If participants using the call-in system wish to withdraw from either state waters exemption program prior to the end of the 7 day designated exemption period requirement, they must also call the Regional Administrator to notify of early withdrawal, at an estimated 2 minutes per call. Approximately 50 limited access vessels are expected to participate in the state waters sea scallop exemption program, and approximately 50 general scallop vessels are expected to participate in the state waters possession limit exemption program.



Owners or operators of any vessel issued a limited access scallop permit are required to notify the RA by either VMS notification or through call-in notification of the start and end of trips under the state waters exemption program. However, this does not impose any additional burden on these vessels since they are already required to report the start and end of their fishing trip. General sea scallop permit holders will have to use the call-in notification system for the first time in order to qualify for the possession limit exemption. Therefore, the cost calculations only include the general permit holders. The costs for the call-in system are estimated at \$15/hour to the public. The burden calculation is based on the assumption that the vessels will enroll in the state waters scallop exemption program once a year, amounting to 2 notifications per vessel. The total costs to the public are \$561 annually.

Surf clam and ocean quahog vessel owners or operators are required to call the NMFS Office of Law Enforcement nearest to the point of offloading prior to the departure of the vessel from the dock. It requires approximately 2 minutes for a vessel owner or operator to notify law enforcement of the vessels departure from the dock to fish for surf clams or ocean quahogs in the EEZ. Approximately 1,400 vessels are affected by this requirement.

In the lobster fishery, initial lobster area designations are estimated to take 5 minutes; requests for additional tags is estimated to take 2 minutes; and notification of lost tags is estimated to take 3 minutes. Approximately 2,700 vessels will complete the initial lobster area designation form and request lobster tags; approximately 1,350 vessels will request additional tags; and approximately 2,700 vessels will report lost tags and request replacement tags.

In the Northeast multispecies fishery, a request for change in permit category designation requires approximately 5 minutes, and a request for transit to another port by a vessel required to remain in the GOM cod trip limit takes 2 minutes. Approximately 100 vessels will request a change in their multispecies permit category, while 200 vessels are expected to make requests to transit to another port while under the GOM cod trip limit.

For vessels fishing in the monkfish fishery, area declaration is estimated to take 3 minutes. It is estimated that 302 monkfish vessels will make up to 4 declarations annually. Vessels wishing end their declaration earlier than originally stated must notify NMFS by either telephone call, fax or letter. Such notification is expected to take 5 minutes, and approximately 20 vessels are expected to end their declaration early.

In the multispecies and monkfish fisheries, gillnet category designation, including initial requests for gillnet tags, requires approximately 10 minutes. Requests for additional tags require an estimated 2 minutes. Notification of lost tags and requests for replacement tag numbers also require an estimated 2 minutes. It will take approximately 1 minute to attach each gillnet tag. Approximately 485 gillnet vessels will be required to make designations; 463 vessels will request tags; 232 will request additional tags; and 463 will notify of lost tags and request replacements.

Requests for state quota transfers in the bluefish, summer flounder and scup fisheries are estimated to require 1 hour. It is expected that only 3 state quota transfers will be requested on an annual basis.

The total annual burden estimated for this Permit Family of Forms is 21,035 hours at a cost of approximately \$315,525 to the public.

**13.** A full summary of the cost of these reporting requirements to the public found in Table 1.

The RA must approve any VMS system selected for use. Currently, there is only one vendor that offers VMS equipment approved for use in the Northeast Region. This vendor is Boatrac, Inc. Boatrac system purchase and installation costs about \$6,000. Boatrac also offers a lease-to-own option at \$4,258/year for a 24-month lease or \$3,029/year for a 36-month lease. All vessels currently required to have VMS units already have them installed. Only vessels who choose to use the VMS system versus the call-in system would incur the initial cost of VMS purchase and installation. It is difficult to estimate the number of multispecies, monkfish or occasional scallop vessel owners who will chose to switch to the VMS system on an annual basis since only 30 non-scallop vessels currently utilize this reporting system. Therefore, it is estimated that at least one multispecies, monkfish or occasional scallop vessel will install a VMS unit on an annual basis. VMS monitoring in the sea scallop, multispecies and monkfish fisheries is automated. Boatrac, Inc. currently charges a flat rate for messaging of \$125/ month, based on one message each hour of every day.

Gillnet tags are purchases from, and supplied to industry by an independent contractor. The cost associated with the purchase of gillnet tags is \$1.15 per tag for a annual cost of \$184.00 (160 tags X \$1.15). This price includes shipping and handling, but there is an additional shipping and handling charge of \$5.00 for orders of less than 20 tags.

Lobster trap tags are purchased through either an approved state agency or through a company contracted by NMFS. The cost of tags supplied through the NMFS contractor is \$0.12 per tag for an annual cost range of \$105.60 (880 tags X \$0.12) to \$237.60 (1,980 tags X \$0.12) depending on the area fished.

The costs to applicants wishing to replace an existing vessel with a larger or newer vessel, and subsequently move the limited access permits and fishing history to the replacement vessel, will vary. Verification of vessel specifications are required in the case of undocumented vessels or unseaworthy vessels being replaced. Such verification is also required in the case where an applicant is requesting an upgrade of an undocumented vessel's specification(s). Surveys to verify undocumented vessel specifications range in cost \$150 to \$600 (\$375 average) depending on the surveyor, the specifications needed, the vessel size, and if vessel condition is included in the survey. A survey to verify a vessel's unseaworthy condition costs approximately \$400 per respondent. The estimated average annual cost to the public of verifying vessel specifications is estimated at \$112,500 based on an estimated 300 respondents. This includes only those respondents who are requesting a vessel replacement or upgrade

an undocumented vessel. The average annual cost to the public verifying a vessel's unseaworthy condition for purposes of replacement is estimated at \$60,000 based on an estimated 150 respondents.

The initial cost to the public (outside of wage costs associated with burden estimate) of obtaining a Federal permit is \$415,666. The annual cost of operations and monitoring is \$636,467.

**14.** A full summary of the following information may be found in Table 1.

Estimated annualized costs to the Federal Government assumes that the average cost for issuance of a permit is \$33/permit, including labor, printing, distribution, computer time and handling. The permits included in this collection of information are: all Federal fishery permits, annual renewals for Federal fishery permits, dealer permits and operator permits. The annual costs to the government are \$306,900 for Federal fishery permits, \$429,000 for permit renewals, \$29,700 for dealer permits, and \$220,000 for operator permits. The Northeast Region of NMFS may implement a fee system to allow recovery of a significant portion of these costs as allowed under the Magnuson-Stevens Act.

As stated previously, vessel owners may appeal their vessel's eligibility to fish in the limited access monkfish fishery. The cost to the government for these appeals is \$25/hour and the appeals are expected to require at least 3 hours to complete. Therefore, the total estimated cost for monkfish appeals is \$6,000.

The cost calculations for observer deployment are based on \$25/wage and overhead value for the government.

For each admittance into an exemption program (summer flounder or multispecies), the calculation of burden reflects the time associated with filing and entry and exit notice. The costs associated with these programs are estimated at \$25/hour to the government. In addition, the costs to the government associated with the state waters sea scallop exemption program call-in system are estimated at \$25/hour.

The costs for the multispecies, monkfish and sea scallop DAS call-in system are estimated at \$25/hour to the government. This cost is also associated with call-in notification for the 20-day spawning season block of time out of the multispecies and monkfish fisheries, notification of the required 120 days out of the non-exempt multispecies gillnet fishery, and notification of transit to another port while under the GOM cod trip limit.

Cost to the government associated with applications for Good Samaritan Credits are estimated at \$25/hour.

The costs of VMS reporting requirements are estimated at \$20,000 and are summarized in Table 2. These costs were estimated by extrapolating the costs for the VMS experimental program to a year. The ongoing costs amount to \$300,000 a year and include staff costs, internet connection, training,

travel and the annual costs for equipment and the back-up system. Salary costs are those minimally associated with two GS-13 computer specialists and one GS-11 VMS technician, including benefits. There is no cost to the government associated with the submission of proof of VMS installation since it is provided along with the vessel permit application. As a result, the cost is included in the vessel permit cost. In addition, there is no cost to the government associated with automated VMS polling of vessel position. The cost to the government associated with turning off the VMS unit is estimated at \$25/hour.

The special pre-notification requirements applicable to surf clam and ocean quahog vessels are estimated to cost the government \$25/hour.

The cost to the Federal government associated with multispecies and monkfish gillnet category designation, and issuance of tags is estimated to be \$25/hour. No cost is associated with the attachment of tags to gillnets. Similarly, the cost associated with lobster area designation and issuance of lobster trap tags is \$25/hour. The cost burden associated with ability of states to transfer or combine summer flounder, scup or quota is estimated to be \$25/hour to the government and \$20/hour to the states.

There is no cost to the government associated with the submission of proof of vessel specifications for purposes of vessel replacement. However, it is estimated to cost the government \$25/hour to process vessel replacements, upgrades and confirmations of permit history.

The total cost to the government associated with obtaining all permits (vessel, dealer and operator) allowed under this family of forms is \$366,034. Related operations (VMS requirements, observer deployment, exemption programs, etc.) entail an additional cost of \$132,983. The total cost to the government for all items included in the Permit Family of Forms is \$449,017.

**15.** This request is for an extension of OMB approval for this family of forms collection. In the past three years, the collection has been revised several times as part of the FMP amendment process, and the revisions have been approved. In some instances new requirements were added, and in others, requirements were dropped. New requirements include the following: Purse seine exemption; SNE little tunny gillnet exemption; Gulf of Maine Party/Charter exemption; lobster area designation; and lobster trap tagging requirements.

In addition to these new requirements, some requirements previously approved under other submissions are being incorporated into the Permit Family of Forms. The following requirements pertaining to the monkfish fishery and previously approved under OMB number 0648-0375 are being incorporated into 0648-0202: Application (initial and renewal) for vessel permits; application (initial and renewal) for dealer permit; application for vessel operator permit; limited access monkfish permit appeals; replacement and upgrade of monkfish vessels; retention of monkfish permit history; monkfish area declaration; call-in reporting; declaration of block of time out of non-exempt gillnet fishery; gillnet category designation; notification of lost gillnet tags and requests for replacement tags; attachment of net

tags for gillnet vessels; and application for Good Samaritan credits. In addition, the following requirements previously approved under 0648-0307 are being incorporated into 0648-0202: Electronic transmission of VMS position reports, and installation of VMS monitoring equipment.

Requirements that have been dropped due to regulatory changes consist of the following: Cancellation of halibut open access permit, hailing of cod catch; request for halibut open access permit application; request for pre-printed permit application for halibut; Mid-Atlantic vessel replacement; notification of intent to fish in the NAFO regulated area; notification of planned return from NAFO regulated area into EEZ; notification of port transit if vessel under Gulf of Maine trip limit (hail report only); requests for inspection 24 hours prior to start of trip or off-loading by tuna purse seine vessels; notification of start and end trips while under the state waters exemption program; the individual bluefish permit; and all limited access permit appeals, except for the monkfish fishery.

The burden estimates for several fishery exemptions have been re-estimated due to the addition of a requirement for a letter of authorization. Requests for letters of authorization require an estimated 5 minutes per respondent. As a result, the burden estimates for several fishery exemptions have been increased from 2 minutes to 5 minutes. The following fishery exemptions are affected by this change in burden estimate: Cod trip limit exemption; midwater trawl exemption; Cultivator Shoal whiting exemption; Nantucket Shoals dogfish exemption; and the Nantucket party/charter exemption. Since vessels fishing in the NAFO regulatory area must now obtain a letter of authorization (versus a letter of exemption) to fish in this area, the burden estimate for this requirement has been increased from 3 minutes to 5 minutes.

The burden for proof of VMS installation has also been re-estimated. Previously, it was estimated to take vessel owners approximately 2 minutes to verify VMS installation. It is currently believed that 5 minutes is a more reasonable estimate.

All burden figures are based on the estimated number of individuals affected. The actual number of dealers, vessel operators, and appeals may differ from these estimates.

**16.** Results from this collection may be used in scientific, management, technical or general informational publications such as Fisheries of the United States, which follows prescribed statistical tabulations and summary table formats. Data are available to the general public on request in summary form only. Data are available to NMFS employees in detailed form on a need-to-know basis only.

**17.** All forms display the OMB control number and expiration date along with information relevant to the PRA of 1997.

**18.** All instances of this submission comply with 5 CFR 1320.9.

## **B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

No statistical methods are employed in the information collection procedures. The requirements are mandatory for all participants in the indicated fisheries.

Table 1. Burden estimates for the Permit Family of Forms

Permit Requirement	# of	Items Per	Total #	Response	Total	Cost to:	
	Entities	Entity	of Items	Time	Burden	Public	Govt.
Vessel Permit Initial	9,300	1	9,300	0.500	4,650	69,750	116,250
Renew	13,000	1	13,000	0.250	3,250	48,750	81,250
Change in Mults Permit Cat.	100	1	100	0.083	8	125	208
RUPH Application							
Replacement/Upgrade	600	1	600	3.000	1,800	27,000	45,000
History Retention	300	1	300	0.500	150	2,250	3,750
Vessel specification verification	300	1	n/a	n/a	n/a	112,500	n/a
Unseaworthy vessel (proof of loss)	150	1	n/a	n/a	n/a	60,000	n/a
Dealer Permit	900	1	900	0.083	75	1,121	1,868
Operator Permit <sup>(1)</sup>	20,000	1	20,000	1.000	6,667	100,000	166,667
Observer Deployment	150	1	150	0.033	5	74	124
Monkfish Appeals	10	1	10	3.000	30	450	750
VMS Installation	1	1	1	1.000	1	15	n/a
VMS Installation (cost of equipment)	1	n/a	n/a	n/a	n/a	6,000	n/a
Automated VMS polling of vessel position <sup>(2)</sup>							
Scallop	252	14,970	359,280	0.001	503	7,545	n/a
Multispecies & Monkfish	30	2,600	62,400	0.001	87	1,310	n/a
Proof of VMS Installation							
Mults & Monk	30	1	30	0.083	2	37	n/a
Scallop	252	1	252	0.083	21	314	n/a
Requests to turn off VMS unit							
Mults & Monk	30	1	30	0.500	15	225	375
Scallop	252	1	252	0.500	126	1,890	3,150
VMS Operation <sup>(3)</sup>							20,000
Mults & Monk	30	n/a	n/a	n/a	n/a	45,000	n/a
Scallop	252	n/a	n/a	n/a	n/a	378,000	n/a
Call-In System <sup>(4)</sup>							
Mults (includes combination)	1,540	25	38,500	0.033	1,271	19,058	31,763
Occasional Scallop	25	20	500	0.033	17	248	413
Monkfish	170	9	1,530	0.033	50	757	1,262
Blocks of time out of non-exempt gillnet fishery							-
Mults	378	5	1,890	0.050	95	1,418	2,363

Permit Requirement	# of	Items Per	Total #	Response	Total	Cost to:	
	Entities	Entity	of Items	Time	Burden	Public	Govt.
Good Samaritan Credits	20	1	20	0.500	10	150	250
State Quota Transfer	3	1	3	1.000	3	45	75
Monkfish Area Declaration	302	4	1,208	0.050	60	906	1,510
Gillnet Designatons	485	1	485	0.170	82	1,237	2,061
Request for tags	463	1	n/a	n/a	n/a	79,266	n/a
Additional Tags <sup>(5)</sup>	232	1	232	0.033	8	115	191
Notif. of lost tags/Req. for replacement tag numbers	463	6	2,778	0.033	92	1,375	2,292
Replacing lost tags <sup>(6)</sup>	463	6	n/a	n/a	n/a	7,927	n/a
Attachment of Gillnet Tags	463	160	74,080	0.017	1,259	18,890	n/a
Transiting to another port (GOM Cod)	200	1	200	0.033	7	99	165
Cod Trip Limit Exemption	1,700	1	1,700	0.083	141	2,117	3,528
Summer Flounder Small-Mesh Exemption	200	1	200	0.083	17	249	415
Winter Flounder State Waters Exemption	300	1	300	0.033	10	149	248
Midwater Trawl Exemption	12	1	12	0.083	1	15	25
Purse Seine Exemption	10	1	10	0.083	1	12	21
Cultivator Shoals Whiting Exemption	40	1	40	0.083	3	50	83
Nantucket Shoals Dogfish Exemption	40	1	40	0.083	3	50	83
SNE Little Tunny Gillnet Exemption	40	1	40	0.083	3	50	83
Scallop Trawl Net Exemption	40	1	40	0.083	3	50	83
NAFO Regulatory Area Request	50	1	50	0.083	4	62	104
GOM Party/Charter Exemption	528	1	528	0.083	44	657	1,096
Nantucket Lightship Party/Charter Exemption	50	1	50	0.083	4	62	104
State waters Sea Scallop DAS Exemption	50	2	100	0.033	3	50	83
State waters Sea Scallop Gear Exemption	50	2	100	0.033	3	50	83
Notification prior to departure of surf clam vessels	1,400	1	1,400	0.033	46	693	1,155
Lobster Area Designation Form	2,700	1	2,700	0.083	224	3,362	5,603
Requests for tags	2,700	1	n/a	n/a	n/a	330,400	n/a
Additional tags <sup>(7)</sup>	1,350	1	1,350	0.033	45	668	1,114
Notification of lost tags	2,700	1	2,700	0.050	135	2,025	3,375
Replacing lost tags <sup>(8)</sup>	2,700	1	n/a	n/a	n/a	33,040	n/a
<b>Totals<sup>(9)</sup></b>	<b>43,203</b>	<b>599,391</b>			<b>21,035</b>	<b>1,367,658</b>	<b>499,023</b>

(1) This burden estimate is divided by 3 to produce an annual estimate since the operator permit is renewed every 3 years.

(2) Estimated total days fished during a season. Multiplied this number by 24 (hour/day) to obtain total # of items.

(3) Assumes an estimated cost of \$125/vessel/month.

(4) Includes one call-in for 20-day spawning block (multispecies and monkfish).



- (5) Cost of additional gillnet tags included in total allowed in initial request.  
 (6) Assumes that all participants will replace 10 percent of their total allotment annually.  
 (7) Cost of additional lobster tags included in total allowed in initial request.  
 (8) Assumes that all participants will replace 10 percent of their total allotment annually.  
 (9) Counts affected entities only once.

Table 2. Costs to the Government from VMS Monitoring.

<b>VMS Monitoring</b>		
<b>Annual Costs</b>	Salary and Benefits <sup>1</sup>	\$230,000
	Internet Connection <sup>2</sup>	7,500
	Equipment <sup>3</sup>	20,000
	Back-up System <sup>4</sup>	38,960
	Software Licensing	3,500
	Supplies <sup>5</sup>	11,000
	Training and travel	8,000
	<b>Total ongoing costs</b>	<b>\$300,000</b>
<b>Start-up Costs</b>	Software adaptations	\$100,000
	<b>Total fixed costs</b>	<b>\$100,000</b>
	<b>Annualized Start-up Costs</b> (at 5 year amortization)	\$20,000
<b>Total Annual Costs<sup>6</sup></b>		<b>\$320,000</b>
<b>Previously Committed Costs</b>		
<b>Total Annual Costs<sup>7</sup></b>		<b>\$300,000</b>
<b>Net Annual Costs to Government from Herring VMS Monitoring</b>		\$20,000

Source: Data supplied by NMFS, Office of Enforcement, Northeast Regional Center, and NMFS

#### Headquarters

- Salary and benefits, three program support personnel.
- 24-hour maintenance of secure Internet node at Gloucester, MA.
- Lease and maintenance contract on CPU and monitor.
- Lease and maintenance contract on CPU and monitor.
- Optical storage disks, repairs and supplies associated with non-lease equipment (modem, router, printer, thermal paper, WORM drive).
- Estimated by adding up annualized start-up costs (\$2,383) to total ongoing costs.
- System operating costs currently funded to support program for the sea scallop fishery.



US Department of Commerce  
NOAA/National Marine Fisheries Service  
One Blackburn Drive  
Gloucester, MA 01930-2298

## **Vessel Replacement, Upgrade, and Confirmation of Permit History Application**

### **Instructions**

You can use this application to request a vessel replacement, a vessel upgrade or a confirmation of permit history. The following defines each action. Please read this carefully and check the action(s) for which you are applying. You may apply for more than one action on this application.

Which of the following actions are being requested?

- G**     Vessel replacement. **(Section A)** This is a replacement of one vessel by another vessel and the transfer of fishing histories and limited access permit eligibility from the old vessel to the new vessel.
  
- G**     Vessel Upgrade. **(Section B)** This is an increase in the vessel's length, tonnage or horsepower as the result of alterations made to the vessel.  
**Note:** There are no upgrade restrictions for vessels that only hold limited access lobster permits.
  
- G**     Confirmation of Permit History. **(Section C)** A confirmation of permit history is required when a vessel that has been issued a limited access permit has sunk, been destroyed or been sold to another person without its permit history and a new vessel has not been purchased. **Possession of a confirmation of permit history will allow the applicant to maintain permit eligibility without owning a vessel. An application for a confirmation of permit history must be received by the Regional Administrator no later than 30 days prior to the end of the first full fishing year in which a vessel's permit can not be issued.**

Unless otherwise stated, the word "permit" means a limited access or moratorium permit.

**You must complete and sign the next page or your application will be returned. After completing that page, continue to the appropriate section and complete it also. You must send all of the required verifying documents or your application will not be processed.**

**General Information**  
**This page must be completed by all applicants**

**Provide all verifying documentation, as requested (see Section D for acceptable forms).**

Vessel Name: \_\_\_\_\_  
( for Replacements: **old vessel**; for Confirmation of Permit History: **sold or sunken vessel**;  
for Upgrades: vessel information **before the upgrade** )

Federal Northeast Fisheries Permit Number: \_\_\_\_\_

Coast Guard (CG) Documentation or State Registration Number: \_\_\_\_\_

Current owner of vessel or permit history: \_\_\_\_\_  
*Supporting document required:* You must supply proof that you own the vessel (See Section D, Item 2) **or** that you own the fishing history and limited access permit eligibility of that vessel (See Section D, Item 3).

Owner's Address: \_\_\_\_\_  
\_\_\_\_\_

Owner's Phone Number: \_\_\_\_\_

**Signature of vessel owner or authorized agent:** \_\_\_\_\_

**Printed Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## Section A--Replacement

**Applicants requesting a vessel replacement must complete this section.**

For all vessels with limited access permits (except Lobster), the vessel size and engine horsepower may only be increased once, either through upgrade or replacement. A 10% increase in length overall, gross registered tonnage and net tonnage, and a 20% increase in engine horsepower are allowed. Vessel size and engine horsepower upgrades may be done separately. Any increase in vessel size, including length overall, gross registered tonnage and net tonnage must be done at the same time. Note, if your vessel has only a lobster limited access permit there are no size restrictions on the replacement vessel, however, if you have a lobster permit and another limited access permit, the replacement vessel is subject to the above restrictions.

A limited access permit cannot be "split" from another limited access permit. This means if two or more limited access permits are on one boat they may not be divided and put on two boats. Please call 978 281-9278 for additional explanation if you have any questions about this restriction.

To determine whether your new vessel (or upgraded vessel) may be issued a limited access permit, the size of the new vessel is compared to the "vessel baseline". A vessel baseline is the vessel's length overall, gross registered tonnage, net tonnage, and engine horsepower as of either :

a) March 22, 1999 for the following limited access permits: black sea bass, Loligo squid/butterfish, Illex squid, scup, summer flounder, and Maine mahogany quahog , or

b) The date the vessel which was initially issued a multispecies or scallop permit applied for that permit.

If you have both a multispecies or scallop permit **and** a black sea bass, Loligo squid, Illex squid, scup, summer flounder, or Maine mahogany quahog, you will have two baselines.

### Replacement Vessel (new vessel to be permitted)

Vessel Name: \_\_\_\_\_

Federal Northeast Permit Number (if issued): \_\_\_\_\_

Coast Guard (CG) Documentation or State Registration Number: \_\_\_\_\_  
(Submit copy of CG documentation or State registration).

CG documented vessels: ***You must submit a copy of the CG documentation papers and proof of engine horsepower (See Section D, Item 1).***

Other vessels: ***You must submit documentation verifying the following (See Section D, Item 1):***

-- Length Overall  
-- Net tonnage

-- Gross Registered Tonnage  
-- Engine Horsepower

Please mark the limited access permit histories that you are transferring. You may only select the limited access permits for which the vessel being replaced is currently qualified. Please keep in mind that all limited access permits must be transferred together and cannot be separated (See the definition of splitting above).

**G** Multispecies

**G** Scallop

**G** Lobster

**G** Summer Flounder

**G** Maine Mahogany Quahog

**G** Scup

**G** Black Sea Bass

**G** Loligo squid/Butterfish

**G** Illex Squid

**G** Monkfish

## Section B--Upgrade

**All applicants requesting a vessel upgrade must complete the following section.**

The engine horsepower or size of a vessel with a limited access permit may be increased only once . A 10% upgrade for length overall, gross registered tonnage and net tonnage, and a 20% upgrade for engine horsepower are allowed. Vessel size and engine horsepower upgrades may be done separately. Any increase in vessel size, including length overall, gross registered tonnage and net tonnage must be done at the same time.

***All changes in vessel specifications indicated below require verifying documentation.  
(See Section D, Item 1).***

New Length Overall \_\_\_\_\_ New Gross Registered Tonnage\_\_\_\_\_

New Net Tonnage\_\_\_\_\_ New Horsepower\_\_\_\_\_

Note; instead of gross registered tonnage and net tonnage information, you may submit verification of vessel breadth and depth, and length overall.

## Section C--Confirmation of Permit History

**All applicants requesting a Confirmation of Permit History (CPH) must complete the following section.**

Indicate the permits requiring issuance of a Confirmation of Permit History. The following are the only fisheries for which CPH certificates are required or available. You may only apply for those permits for which the vessel is currently qualified:

- |                                |   |
|--------------------------------|---|
| <b>G</b> Multispecies          | <b>G</b> Scup                           |
| <b>G</b> Scallop               | <b>G</b> Black Sea Bass                 |
| <b>G</b> Lobster               | <b>G</b> <u>Loligo</u> squid/Butterfish |
| <b>G</b> Summer Flounder       | <b>G</b> <u>Illex</u> Squid             |
| <b>G</b> Maine Mahogany Quahog | <b>G</b> Monkfish                       |

Please check all that apply:

- G** Vessel sold (Supporting documentation required. See Section D, Item 3)  
**G** Vessel destroyed (Supporting documentation required. See Section D, Item 4)

## Section D--Supporting Documentation Required

The following are acceptable forms of verification. You are only required to submit one of the acceptable forms of documentation for any category.

### 1. *Vessel specification documentation*

- ▶ For all vessels, you must verify horsepower by providing one of the following:
  - Marine survey documentation showing the name and location of the marine surveyor
  - Mechanic certification
  - Engine manufacturer specification and proof that the engine is installed on your vessel
- ▶ For Coast Guard documented vessels, you must provide a copy of the documentation papers.\*
- ▶ For State registered vessels, you must verify length overall, gross registered tonnage, and net tonnage by providing one of the following:
  - Marine survey documentation showing the name and location of the marine surveyor; survey may indicate either gross and net tons or provide information on the vessel's breadth and depth (not draft), and length overall.
  - US Bureau of Shipping document

### 2. *Vessel ownership documentation*

- ▶ To verify the ownership of a vessel, please provide a copy of one of the following:
  - Current Coast Guard documentation
  - Current State registration

### 3. *Vessel permit history ownership*

- ▶ To verify that you have retained the permit history of a vessel you no longer own, please provide one of the following :
  - A bill of sale or document stating that the permit history has been retained by you (the seller) and signed by you and the buyer.
  - A copy of the confirmation of permit history.

### 4. *Vessel destruction*

- ▶ To verify that the vessel has been destroyed or is no longer seaworthy, please provide one of the following:
  - Coast Guard accident report.
  - Insurance adjustor's report.
  - Verification from certified marine surveyor that vessel is no longer seaworthy.

\* By submitting this documentation you confirm that the vessel length overall is correct as indicated on the CG documentation. If it is not, please submit additional documentation to confirm the length overall of the vessel.

**NOTE: Submission of fraudulent or inaccurate information could result in enforcement action, up to and including fines, permit sanctions, or the revocation of limited access permits.**

## **YOUR COMPLETED APPLICATION SHOULD INCLUDE THE FOLLOWING:**

### **APPLICATION FOR VESSEL REPLACEMENT**

1. You should complete and submit:
  - ▶ Page 2 - General Information
  - ▶ Page 3 - Section A--Replacement
2. You should submit the following supporting documentation for BOTH \* the vessel being replaced (old vessel) and the replacement vessel:
  - ▶ Vessel specification documentation (See Section D-Item 1)(not necessary for vessels holding only limited access lobster permits)
  - ▶ Vessel/History ownership verification (See Section D-Items 2 or 3 as applicable) or proof of vessel destruction (See Section D-Item 4)

\* Note; if you have already established a baseline for the old vessel by submitting information verifying your vessel's baseline specifications, you will not need to submit additional verification. You should submit information about the replacement vessel.

### **APPLICATION FOR A VESSEL UPGRADE**

1. You should complete and submit:
  - ▶ Page 2 - General Information
  - ▶ Page 4 - Section B--Upgrade
2. You should submit the following supporting documentation:
  - ▶ Vessel specification documentation (See Section D-Item 1)

### **APPLICATION FOR A CONFIRMATION OF PERMIT HISTORY**

1. You should complete and submit
  - ▶ Page 2 - General Information
  - ▶ Page 4 - Section C--Confirmation of Permit History
2. You should submit the following supporting documentation:
  - ▶ History ownership verification (See Section D-Item 3) or proof of vessel destruction (See Section D-Item 4)

rev.11/27/00

OMB # 0648-0202 EXP

#### **Request for a replacement, upgrade notification, or history retention :**

The application to allow the respondent to request a replacement of one vessel by another, change vessel specifications due to an upgrade, or retain a vessel's history, is meant to aid in the administration and enforcement of the regulations that relate to these programs. This form will save the respondent time and effort in that all the requirements relating to the interrelated actions are included on one form. These requirements have been adopted as part of the effort reduction programs under the Fishery Management Plans (FMPs) that govern the fisheries involved, and are consistent with the conservation goals of the FMPs. The information provided on this application will allow industry members to replace older vessels with new vessels or retain histories, in a manner consistent with the effort reduction requirements of the FMPs. The information provided through any requests to upgrade a vessel specification will be used for the purposes of monitoring compliance with effort reduction programs. The information requested on this form is not confidential and will be available to the general public.

**BURDEN STATEMENT:** Public reporting burden for this collection of information is estimated to average three hours per response for vessel replacements and upgrades, and 30 minutes for vessel history retention. These estimated response times include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or suggestions for reducing this burden to National Marine Fisheries Service, Fishery Management Operations Division, 1 Blackburn Drive, Gloucester, MA 01930-2298.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a current valid OMB Control Number.



U.S. Department of Commerce  
National Oceanic & Atmospheric Administration  
National Marine Fisheries Service - Permit Office  
One Blackburn Drive  
Gloucester, MA 01930-2298  
(978) 281-9370



INITIAL APPLICATION FOR COMMERCIAL  
VESSEL OPERATOR PERMIT

FULL NAME\_\_\_\_\_

ADDRESS\_\_\_\_\_

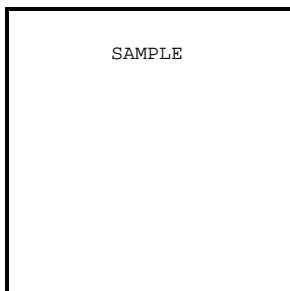
CITY/STATE/ZIP CODE\_\_\_\_\_

TELEPHONE NUMBER\_\_\_\_\_DATE OF BIRTH\_\_\_\_\_

HAIR COLOR\_\_\_\_\_EYE COLOR\_\_\_\_\_

HEIGHT\_\_\_\_\_WEIGHT\_\_\_\_\_

PLEASE ENCLOSE TWO (2) CURRENT COLOR PASSPORT PHOTOS OF YOURSELF:



TO AVOID DELAY IN PROCESSING, PLEASE INCLUDE ALL INFORMATION REQUESTED.

I AFFIRM UNDER PENALTY OF PERJURY, THAT ALL INFORMATION I HAVE GIVEN IN OBTAINING THIS LICENSE IS TRUE. I UNDERSTAND THAT VIOLATIONS OF FEDERAL FISHERIES LAWS AND REGULATIONS MAY SUBJECT ME TO CRIMINAL AND CIVIL PENALTIES INCLUDING FINE AND/OR REVOCATION OF LICENSE. FURTHER, AS A CONDITION OF THIS OPERATOR'S PERMIT, I AGREE THAT IF THIS PERMIT IS SUSPENDED OR REVOKED PURSUANT TO 15 CFR PART 904, I WILL NOT BE ON BOARD A FEDERALLY PERMITTED FISHING VESSEL IN ANY CAPACITY WHILE THE VESSEL IS AT SEA OR ENGAGED IN OFFLOADING. IN OBTAINING THIS OPERATOR'S PERMIT, I UNDERSTAND THAT I MUST COMPLY WITH CURRENT LAW, WHICH REQUIRES THAT I BE A U.S. CITIZEN TO SERVE AS MASTER OR OFFICER IN CHARGE OF A DECK WATCH ON A U.S. DOCUMENTED FISHING VESSEL FISHING INSIDE THE EXCLUSIVE ECONOMIC ZONE.

SIGNATURE\_\_\_\_\_DATE\_\_\_\_\_

Public reporting burden for this collection of information is estimated to average 1 hour per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: NMFS, One Blackburn Drive, Gloucester, MA 01930-2298. The purpose and use of these permits are to (1) register industry participants and fishing vessels, (2) exercise influence over compliance, (3) provide a mailing list for the dissemination of important information to the industry, (4) register participants to be considered for limited entry, and (5) provide a universe for data collection samples. Both the MSFCMA and Executive Orders 12866 et al, require the determination of this information. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



U. S. DEPARTMENT OF COMMERCE  
NATIONAL OCEANIC & ATMOSPHERIC ADMIN  
NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298  
Tel: (978) 281-9370



**INITIAL VESSEL APPLICATION**

**FEDERAL FISHERIES PERMIT**

MONTH : \_\_\_\_\_ YEAR : \_\_\_\_\_

Section 1 - VESSEL/OWNER INFORMATION

Vessel Name: \_\_\_\_\_

Owner Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Owner Telephone: \_\_\_\_\_

CG Documentation or State Registration Number: \_\_\_\_\_

Hailing Port: \_\_\_\_\_

Principal Port: \_\_\_\_\_

Section 2 - VESSEL INFORMATION

Vessel Length: _____	Dredge Size _____
Crew Size: _____	Number of Dredges: _____
Gross Tonnage: _____	Pump Horsepower: _____
Year Built: _____	Construction: _____
Main Engine HP: _____	Propulsion: _____
Fish Hold Capacity: _____	No. Passengers for _____
	Charter or Party: _____

Section 3 - FISHERY INFORMATION

Fishery:	Category	Gear(s)
Spiny Dogfish	_____	_____
N E Multispecies	_____	_____
Sea Scallop	_____	_____
Surfclam	_____	_____
Ocean Quahog	_____	_____
Summer Flounder	_____	_____
American Lobster	_____	_____
Scup	_____	_____
Squid/Mack/Butterfish	_____	_____
Black Sea Bass	_____	_____
Monkfish	_____	_____
Bluefish	_____	_____
Herring	_____	_____

Section 4 - OWNER'S SIGNATURE

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in Section 1 above. I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Previously permitted  
vessel permit # \_\_\_\_\_

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

11/30/2000  
EXP

OMB# 0648-0202

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing & reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 1 Blackburn Drive, Gloucester, MA 01930-2298. The Paperwork Reduction Act requires that potential respondents for a fishing vessel permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits. One of the regulatory steps taken by the National Marine Fisheries Service to carry out its conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to fish for or retain these species in or from the EEZ, Section 303 (b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance. The purpose and use of these permits are to: (1) register industry participants and fishing vessels, (2) list the characteristics of fishing vessels, (3) exercise influence over compliance, (4) provide a mailing list for the dissemination of important information to the industry, (5) register participants to be considered for limited entry, and (6) provide a universe for data collection samples. Both the MSFCMA and Executive Orders 12866 et al. require the determination of this information. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



## **VESSEL INITIAL APPLICATION - FEDERAL FISHERIES PERMIT INSTRUCTIONS**

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**In Sections 1 and 2, fill in ALL items.**

Mail the completed application to: National Marine Fisheries Service, Permit Office, On Blackburn Drive, Gloucester, MA 01930-2298. **No walk-in service is available.** There is a 30 day processing period, and you should receive your permit within this time limit. **Questions? (978)281-9278.**

### **SECTION 1: VESSEL/OWNER INFORMATION**

**Enter information in the spaces provided.**

Vessel Name: Current name of vessel or enter "unnamed" if not applicable.

Owner Name: If corporation or partnership, submit current documentation from the State of Incorporation verifying corporate status or Partnership Agreement. (See Section 4 for additional documents required).

Address and Telephone Number: Include new 4-digit addition to zip code and area code for phone number.

Coast Guard Documentation or State Registration Number: **You must provide a photocopy of vessel's current Coast Guard documentation or State registration with your application. (See Section 4 for additional documents required).**

Hailing Port: City and State of vessel mooring location.

Principal Port: City and State where the majority of your landings occur.

### **SECTION 2: VESSEL INFORMATION**

**Complete ALL items.**

Vessel length: Overall length in feet.

Crew Size: Average number of crew, including the captain.

Gross Tonnage: As recorded on US Coast Guard Documentation.

Fish Hold Capacity: Measured to the nearest 100 pounds.

Pump Horsepower: This item applies to surf clam/ocean quahog vessels only.

Construction: 1=Wood, 2=Fiberglass, 3=Steel, 4=Other.

Propulsion: 1=Gasoline, 2=Diesel, 3=Other.

Number of Passengers for Charter or Party: Number of passengers the vessel is licensed to carry. (See Section 4 for additional documents required).

### **SECTION 3: FISHERY INFORMATION**

Except as noted for some limited access fisheries, you may select a fishery, category or gear code by entering the information in the spaces provided. Select the fishery permit categories from the table below that best describe your fishing operations and write the number in the column marked "Category". For each fishery, select a gear code from the Gear Code table, printed at the end of this section, and write the gear code number in the column marked "Gear".

**GEAR CODES (Shaded)**

<b>120</b>	Purse Seines	<b>330</b>	Other Trawls	<b>912</b>	Rod and Reel
<b>210</b>	Beach Seines	<b>410</b>	Dredge	<b>920</b>	Longlines or Setlines
<b>220</b>	Boat Seines	<b>700</b>	Gill or Entangling Nets	<b>1010</b>	Harpoons
<b>310</b>	Bottom Trawls	<b>800</b>	Pots and Traps	<b>1200</b>	Other Gear
<b>320</b>	Mid-water Trawls	<b>911</b>	Hand Lines	<b>1400</b>	Diving Gear

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***FISHERY PERMIT CATEGORIES (Shaded)***

**NORTHEAST MULTISPECIES:**

<b>Regulated species</b>	<b>Cod, haddock, yellowtail flounder, pollock, redfish (ocean perch), winter flounder (blackback), American plaice (dab), witch flounder (grey sole), windowpane flounder (sand dab) and white hake</b>
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<b>Non-Regulated species</b>	<b>Silver hake (whiting), red hake (ling) and ocean pout, and Atlantic halibut (vessels may land or possess on board no more than one Atlantic halibut per trip)</b>
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***Limited Access Permits:*** These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

**A Individual DAS**

**B Fleet DAS**

**C Small Vessel Exemption: (less than or equal to 30')**

**D Hook Gear: (Vessels in this category may not change category)**

**E Combination Vessels: (Vessels in this category may not change category)**

**F Large Mesh Individual DAS: Category A (Individual DAS) or E (Combination) vessels may elect this category for the entire year. Fish for multispecies groundfish no more than 36 percent beyond the DAS allocations specified on vessel's DAS allocation for Categories A or E. Must fish either gillnet gear with a minimum size 7" diamond mesh or trawl gear with a minimum size 8" diamond mesh.**

**G Large Mesh Fleet DAS: Category B (Fleet DAS) vessel may elect this category for the entire year. Fish for multispecies groundfish using no more than 120 DAS. Must fish either gillnet gear with a minimum size 7" diamond mesh or trawl gear with a minimum size 8" diamond mesh.**

## NORTHEAST MULTISPECIES (continued)

*Open Access Permits:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- H **Handgear:** Retain up to 300 lbs. combined weight of cod, haddock and yellowtail flounder, one Atlantic halibut of at least 36 inches in size, and unlimited amounts of other Northeast multispecies provided that only rod and reel or handline gear is used or possessed on the vessel while in possession of, fishing for, or landing Northeast multispecies, and provided that there is at least one standard tote on board.
  - I **Charter/Party:** Fish for or retain multispecies in the EEZ when carrying passengers for hire (See Section 3 for additional information).
  - J **Scallop Multispecies Possession Limit:** Retain up to 300 lbs. of regulated species while fishing under a scallop DAS. Vessel must have a Limited Access Scallop Permit to qualify for this category.
  - K **Non-Regulated Multispecies:** Fish for non-regulated multispecies: silver hake (whiting), red hake (ling), ocean pout or Atlantic halibut (vessels may land or possess on board no more than one Atlantic halibut per trip, at least 36 inches).
- 

## ATLANTIC SEA SCALLOP:

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 **General:** Retain or land no more than 400 lbs. of shucked scallops, or 50 US bushels of in-shell scallops, per trip.

*Limited Access Permits:* These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 **Full-Time**
  - 3 **Part-Time**
  - 4 **Occasional**
  - 5 **Full-Time - Small Dredge:** Category 3 (Part-Time) vessel may elect this category for the entire year. Fish for scallops using one dredge no larger than 10.5 ft. and a crew no larger than five.
  - 6 **Part-Time - Small Dredge:** Category 4 (Occasional) vessel may elect this category for the entire year. Fish for scallops using one dredge no larger than 10.5 ft. and a crew no larger than five.
  - 7 **Full-Time - Authorized to use trawl nets**
  - 8 **Part-Time - Authorized to use trawl nets**
  - 9 **Occasional - Authorized to use trawl nets**
- 

## SURF CLAM/OCEAN QUAHOG

*Open Access Permits:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 **Surfclam:** Harvest surfclams\*.
- 6 **Ocean Quahog:** Harvest ocean quahogs\*.

\* To harvest and land surfclams or ocean quahogs, an allocation of quota is required. For more information call (978) 281-9262.

*Limited Access Permit:* These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 7 **Maine Mahogany Quahog:** Harvest ocean quahogs without an allocation in Federal waters in the area north of latitude 43° 50'N.

## AMERICAN LOBSTER

*Limited Access Permits:* These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Commercial
  - 2 Charter/Party
- 

## SUMMER FLOUNDER (FLUKE)

*Limited Access Permit:* This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Commercial Moratorium

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 Charter/Party: Fish for or retain summer flounder in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 

## SCUP (PORGY)

*Limited Access Permit:* This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Scup Moratorium

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 Charter/Party: Fish for or retain scup in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 

## SQUID, MACKEREL, AND BUTTERFISH

*Limited Access Permits:* This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Loligo/Butterfish Moratorium
- 5 Illex Squid Moratorium

*Open Access Permits:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 Squid/Mackerel/Butterfish Charter/Party: Fish for or retain Loligo or Illex squid, or butterfish in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 3 Squid/Butterfish Incidental Catch: Fish commercially for up to 2,500 lbs of Loligo squid or butterfish and 5,000 lbs of Illex squid per trip.
- 4 Atlantic Mackerel: Fish commercially for Atlantic mackerel in the EEZ.

## BLACK SEA BASS

*Limited Access Permit:* This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Black Sea Bass Moratorium: Fish commercially north of 35° 15.3' N. latitude.

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 Charter/Party: Fish for or retain black sea bass north of 35° 15.3' N. latitude while carrying passengers for hire. (See Section 3 for additional information).

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## ATLANTIC BLUEFISH

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Commercial: Possess or harvest Atlantic bluefish from the EEZ in excess of the daily possession limit.
- 2 Charter/Party: Fish for or retain Atlantic bluefish while carrying passengers for hire. (See Section 3 for additional information).

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## SPINY DOGFISH

*Open Access Permit:* Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 General: To commercially fish for, possess, or land spiny dogfish caught in or from the EEZ.

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## MONKFISH

*Limited Access Permits:* These permits will only be issued to vessels that have applied for the permit and met the qualification criteria specified below by no later than November 7, 2000. These permits may only be renewed by vessels that have been issued a limited access monkfish permit. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations and permit holder letters sent previously.

- A Vessels which do not possess a multispecies or scallop limited access permit and can provide proof of landing at least 50,000 pounds of tail weight or 166,000 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- B Vessels which do not possess a multispecies or scallop limited access permit that are less than 51 gross registered tonnage, do not qualify for a category A permit, and can provide proof of landing at least 7,500 pounds of tail weight or 24,900 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- C Vessels which possess a multispecies or scallop limited access permit and can provide proof of landing at least 50,000 pounds of tail weight or 166,000 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- D Vessels that do not qualify for a Category C permit which possess a multispecies or vessels less than 51 gross registered tonnage which possess a scallop limited access permit, and can provide proof of landing at least 7,500 pounds of tail weight or 24,900 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.

*Days-at-Sea (DAS) Allocation* - Vessels qualified for Categories A & B will be allocated 40 DAS. Vessels qualified for Categories C & D will be allocated up to 40 DAS and vessels must also be on a multispecies or scallop DAS when using a monkfish DAS.

MONKFISH (continued)

*Open Access Permit:* This permit may be issued to any vessel not issued a monkfish limited access permit to fish for, possess, or land monkfish. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- E** **Incidental Catch** - Allow a vessel to retain a limited amount of monkfish depending on fishing year, area fished and gear fished. For specific limit amounts please contact the Fisheries Information Line at (978) 281-9278.

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## ***SECTION 4: OWNER'S SIGNATURE AND RENEWAL INSTRUCTIONS***

Please sign the form. Unsigned or otherwise incomplete applications will be returned. Your signature is an affirmation under penalty of perjury, that all the information provided in obtaining this permit is true and correct.

### **ADDITIONAL DOCUMENTS REQUIRED**

- 1 CERTIFICATE OF INCORPORATION, PARTNERSHIP AGREEMENT OR ANNUAL REPORTS** - If the vessel is owned by a corporation or a partnership, the following information must be submitted with the renewal form:
  - A copy of the Certificate of Incorporation must be submitted once. Each year, documents showing current corporate status and all officers and shareholders owning 25% or more of the shares in the corporation must be submitted
  - The list of corporate officers and shareholders must include their addresses (examples of acceptable documentation include Minutes from the Corporation Annual Meeting listing the names and addresses of the officers and stockholders, or a signed and dated letter from a Corporate Officer listing the names and addresses of current officers and stockholders)
  - Partnerships must submit a copy of the partnership agreement once. Each year, the names and addresses of all partners must be submitted
- 2 SCALLOP VESSELS OWNED** - If you are renewing a limited access sea scallop permit, you must attach a list of the following information for all vessels in which you have an ownership interest and that hold limited access sea scallop permits. You may use the attached form for your convenience.
  - ▶ Owner names - Not Business or Corporate Names
  - ▶ Vessel names and permit numbers
- 3 USCG DOCUMENTATION** - A copy of the vessel's current US Coast Guard Documentation or, if undocumented, current state registration.
- 4 CHARTER/PARTY PERMIT** - If you hold or are applying for a charter/party permit, you must submit a copy of the vessel's current charter/party license. A copy of one of the following documents is acceptable:
  - ▶ Current state license showing the vessel is authorized to carry charter/party passengers
  - ▶ Current Coast Guard Documentation that shows the vessel is presently documented for "Coastwise"
  - ▶ Current US Coast Guard license to operate or navigate passenger carrying vessels

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Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing & reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 1 Blackburn Drive, Gloucester, MA 01930-2298. The Paperwork Reduction Act requires that potential respondents for a fishing vessel permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits. One of the regulatory steps taken by the National Marine Fisheries Service to carry out its conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to fish for or retain these species in or from the EEZ, Section 303 (b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance. The purpose and use of these permits are to: (1) register industry participants and fishing vessels, (2) list the characteristics of fishing vessels, (3) exercise influence over compliance, (4) provide a mailing list for the dissemination of important information to the industry, (5) register participants to be considered for limited entry, and (6) provide a universe for data collection samples. Both the MSFCMA and Executive Orders 12866 et al. require the determination of this information. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



U.S. DEPARTMENT OF COMMERCE  
NOAA/NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298

VESSEL RENEWAL APPLICATION  
YYYY NE FEDERAL FISHERIES PERMIT

Tel: (978) 281-9370



**YOU MUST COMPLETE AND SIGN THE BACK OF THIS APPLICATION OR IT WILL NOT BE PROCESSED**

Section 1 - OWNER INFORMATION		Section 2 - VESSEL INFORMATION	
Vessel Name: Owner Name: Address:  Owner Telephone: Additional Owners:		CG Documentation Number or State Registration Number:  Northeast Region Federal Fishing Vessel Permit Number:  Home Port: Principal Port:	
Section 3 - YYYY FISHERY INFORMATION			
Fishery:	Category:	Gear(s):	Cancel:
<i>The front page will be printed by Oracle</i>			

**YOU MUST COMPLETE AND SIGN THE BACK OF THIS APPLICATION OR IT WILL NOT BE PROCESSED**

**YOU MUST COMPLETE AND SIGN THIS APPLICATION OR IT WILL NOT BE PROCESSED**

**Section 4 - CORRECTIONS AND ADDITIONS**

Clearly cross out incorrect owner/vessel information on the front of this form and place corrections below. If no information is crossed out, information written below will be added to your record. To cancel a fishery permit, clearly mark the cancel box on the front of this form. Fishery information listed below will be added to your record.

Vessel Name:

Owner Name:

Owner Address:

Owner Address:

Owner Telephone:

Home Port:

Principal Port:

Other Information:

**Refer to Instructions for correct category code and gear code required in the section below.**

Fishery:	Category:	Gear Code: (may select more than one)
Sea Scallop - Limited Access		
Northeast Multispecies		
Monkfish		
Sea Scallop - General		
Surfclam		
Ocean Quahog		
Summer Flounder		
Scup		
Black Sea Bass		
Squid, Mackerel, Butterfish		
Spiny Dogfish		
Atlantic Bluefish		
Atlantic Herring		
American Lobster		

**Section 5 - APPLICATION INSTRUCTIONS & SIGNATURE**

\_\_\_\_\_ Issue with Requested  
Changes Above

\_\_\_\_\_ No Longer Own Vessel

\_\_\_\_\_ Vessel Sold

\_\_\_\_\_ Vessel Destroyed

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in Section 1 above. I affirm, subject to the penalties provided in 18 USC 1001, that all information that I have given in obtaining this permit is true and correct.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

**YOU MUST COMPLETE AND SIGN THIS APPLICATION OR IT WILL NOT BE PROCESSED**



## INSTRUCTIONS

### 2000 VESSEL PERMIT RENEWAL - NORTHEAST FEDERAL FISHERIES

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#### COMPLETING THE APPLICATION:

The enclosed 2000 Vessel Permit Renewal Application is partially completed based on your 1999 Federal Fishing Permit. Use this checklist to help ensure that your application is correct and complete. **Incomplete applications will not be processed.** To complete your application you must:

- ✓ Update or correct the information printed on your application
- ✓ Enclose a copy of your **current** State Registration or Coast Guard document
- ✓ Submit all trip reports that are due to the Data Center at the address below (contact no. 978-281-9246)
- ✓ Submit requested corporate information *if* your vessel is owned by a corporation (see Section 3)
- ✓ Submit requested partnership information *if* your vessel is owned through a partnership (see Section 3)
- ✓ Submit a copy of the vessel's **current** charter/party license (see Section 3)
- ✓ Sign and date the application

#### Send the completed application to:

National Marine Fisheries Service  
Attention: Permit Office  
One Blackburn Drive  
Gloucester, MA 01930-2298

#### WHEN TO SUBMIT:

Your renewal application should be returned to us at least 30 days prior to the date the permit is required in order to assure an expeditious processing of your application. **NO WALK-IN SERVICE IS AVAILABLE.**

#### WHO TO CONTACT WITH QUESTIONS:

SECTION BY SECTION INSTRUCTIONS FOLLOW. The answers to most questions can be found in these instructions. Please contact us at 978-281-9278 if you can not find the answer to your question. Northeast Fisheries Regulations, permit data, and important announcements are available on our website at: **[www.nero.nmfs.gov](http://www.nero.nmfs.gov)**.

#### CHANGES MADE AFTER THIS APPLICATION IS SUBMITTED:

You are required to notify the National Marine Fisheries Service within 15 days if any of the information you submit with this renewal application changes during the year 2000 fishing year.

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### SECTION 1: VESSEL/OWNER INFORMATION

Enter information only for items that have changed or are incorrect. For our purposes Home Port and Principal Port are defined as follows.

Home Port	City and State where vessel is moored.
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Principal Port	City and State where the majority of your landings occur.
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## SECTION 2: 1999 FISHERY INFORMATION & RENEWAL CHANGES

**1999 Fishery Information**, (the box on the left) gives information about the Federal permits your vessel held in 1999. If no new entries are made in Section 2 and all vessel reporting requirements have been met, your 2000 permit will be issued for the fisheries indicated **upon receipt of a complete application**.

**Renewal Changes**, (the box on the right) is provided for any changes you wish to make to your 2000 Federal fisheries permit. Except as noted for some limited access fisheries, you may add, cancel or change a fishery, category or gear code by entering new information in the spaces provided.

**Category:** For each fishery you wish to add, cancel or change, select the category that best describes your fishing operation, and write the category numbers or letters in this column.

**Gear Code:** For each fishery, select the applicable gear codes from the Gear Code table below. Write the gear code numbers in the column marked "Gear."

**Cancel:** To cancel a fishery, put an "X" in the column marked "Cancel". Please note that once you relinquish (cancel) a limited access permit, you will lose your right to renew that limited access permit in subsequent years.

### GEAR CODES

120	Purse Seines	320	Mid-water Trawls	800	Pots and Traps	1010	Harpoons
210	Beach Seines	330	Other Trawls	911	Hand Lines	1200	Other Gear
220	Boat Seines	410	Dredge	912	Rod and Reel	1400	Diving Gear
310	Bottom Trawls	700	Gill or Entangling Nets	920	Longlines or Setlines		

## FISHERY PERMIT CATEGORIES (*Shaded*)

### NORTHEAST MULTISPECIES:

Regulated species	Cod, haddock, yellowtail flounder, pollock, redfish (ocean perch), winter flounder (blackback), American plaice (dab), witch flounder (grey sole), windowpane flounder (sand dab) and white hake
Non-Regulated species	Silver hake (whiting), red hake (ling) and ocean pout, and Atlantic halibut (vessels may land or possess on board no more than one Atlantic halibut per trip)

**Limited Access Permits:** These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- A** Individual DAS
- B** Fleet DAS
- C** Small Vessel Exemption: (less than or equal to 30')
- D** Hook Gear: (Vessels in this category may not change category)
- E** Combination Vessels: (Vessels in this category may not change category)
- F** Large Mesh Individual DAS: Category A (Individual DAS) or E (Combination) vessels may elect this category for the entire year. Fish for multispecies groundfish no more than 36 percent beyond the DAS allocations specified on vessel's DAS allocation for Categories A or E. Must fish either gillnet gear with a minimum size 7" diamond mesh or trawl gear with a minimum size 8" diamond mesh.
- G** Large Mesh Fleet DAS: Category B (Fleet DAS) vessel may elect this category for the entire year. Fish for multispecies groundfish using no more than 120 DAS. Must fish either gillnet gear with a minimum size 7" diamond mesh or trawl gear with a minimum size 8" diamond mesh.

## NORTHEAST MULTISPECIES (continued)

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- H** Handgear: Retain up to 300 lbs. combined weight of cod, haddock and yellowtail flounder, one Atlantic halibut of at least 36 inches in size, and unlimited amounts of other Northeast multispecies provided that only rod and reel or handline gear is used or possessed on the vessel while in possession of, fishing for, or landing Northeast multispecies, and provided that there is at least one standard tote on board.
- I** Charter/Party: Fish for or retain multispecies in the EEZ when carrying passengers for hire (See Section 3 for additional information).
- J** Scallop Multispecies Possession Limit: Retain up to 300 lbs. of regulated species while fishing under a scallop DAS. Vessel must have a Limited Access Scallop Permit to qualify for this category.
- K** Non-Regulated Multispecies: Fish for non-regulated multispecies: silver hake (whiting), red hake (ling), ocean pout or Atlantic halibut (vessels may land or possess on board no more than one Atlantic halibut per trip, at least 36 inches).

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## ATLANTIC SEA SCALLOP:

**Open Access Permit:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1** General: Retain or land no more than 400 lbs. of shucked scallops, or 50 US bushels of in-shell scallops, per trip.

**Limited Access Permits:** These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 2** Full-Time
- 3** Part-Time
- 4** Occasional
- 5** Full-Time - Small Dredge: Category 3 (Part-Time) vessel may elect this category for the entire year. Fish for scallops using one dredge no larger than 10.5 ft. and a crew no larger than five.
- 6** Part-Time - Small Dredge: Category 4 (Occasional) vessel may elect this category for the entire year. Fish for scallops using one dredge no larger than 10.5 ft. and a crew no larger than five.
- 7** Full-Time - Authorized to use trawl nets
- 8** Part-Time - Authorized to use trawl nets
- 9** Occasional - Authorized to use trawl nets

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## SURFCLAM/OCEAN QUAHOG

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1** Surfclam: Harvest surfclams\*.
- 6** Ocean Quahog: Harvest ocean quahogs\*.

\* To harvest and land surfclams or ocean quahogs, an allocation of quota is required. For more information, call (978) 281-9262.

**Limited Access Permit:** These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 7** Maine Mahogany Quahog: Harvest ocean quahogs without an allocation in Federal waters in the area north of latitude 43° 50'N.

## AMERICAN LOBSTER

**Limited Access Permits:** These permits may only be renewed by vessels that have previously held them, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 1 Commercial
  - 2 Charter/Party
- 

## SUMMER FLOUNDER (FLUKE)

**Limited Access Permit:** This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 1 Commercial Moratorium

**Open Access Permit:** **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 2 Charter/Party: Fish for or retain summer flounder in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 

## SCUP (PORGY)

**Limited Access Permit:** This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 1 Scup Moratorium

**Open Access Permit:** **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 2 Charter/Party: Fish for or retain scup in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 

## SQUID, MACKEREL, AND BUTTERFISH

**Limited Access Permits:** This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 1 Loligo/Butterfish Moratorium
- 5 Illex Squid Moratorium

**Open Access Permits:** **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 2 Squid/Mackerel/Butterfish Charter/Party: Fish for or retain Loligo or Illex squid, or butterfish in the EEZ while carrying passengers for hire (See Section 3 for additional information).
- 3 Squid/Butterfish Incidental Catch: Fish commercially for up to 2,500 lbs of Loligo squid or butterfish and 5,000 lbs of Illex squid per trip.
- 4 Atlantic Mackerel: Fish commercially for Atlantic mackerel in the EEZ.

## BLACK SEA BASS

**Limited Access Permit:** This permit may only be renewed by vessels that have previously held one, or to approved replacements of such vessels. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- 1 Black Sea Bass Moratorium: Fish commercially north of 35° 15.3' N. latitude.

**Open Access Permit:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 2 Charter/Party: Fish for or retain black sea bass north of 35° 15.3' N. latitude while carrying passengers for hire. (See Section 3 for additional information).

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## ATLANTIC BLUEFISH

**Open Access Permit:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 Commercial: Possess or harvest Atlantic bluefish from the EEZ in excess of the daily possession limit.
- 2 Charter/Party: Fish for or retain Atlantic bluefish while carrying passengers for hire. (See Section 3 for additional information).

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## SPINY DOGFISH

**Open Access Permit:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

- 1 General: To commercially fish for, possess, or land spiny dogfish caught in or from the EEZ.

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## MONKFISH

**Limited Access Permits:** These permits will only be issued to vessels that have applied for the permit and met the qualification criteria specified below by no later than November 7, 2000. These permits may only be renewed by vessels that have been issued a limited access monkfish permit. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations and permit holder letters sent previously.**

- A Vessels which do not possess a multispecies or scallop limited access permit and can provide proof of landing at least 50,000 pounds of tail weight or 166,000 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- B Vessels which do not possess a multispecies or scallop limited access permit that are less than 51 gross registered tonnage, do not qualify for a category A permit, and can provide proof of landing at least 7,500 pounds of tail weight or 24,900 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- C Vessels which possess a multispecies or scallop limited access permit and can provide proof of landing at least 50,000 pounds of tail weight or 166,000 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.
- D Vessels that do not qualify for a Category C permit which possess a multispecies or vessels less than 51 gross registered tonnage which possess a scallop limited access permit, and can provide proof of landing at least 7,500 pounds of tail weight or 24,900 pounds of whole weight of monkfish during the period of February 28, 1991, through February 27, 1995.

**Days-at-Sea (DAS) Allocation** - Vessels qualified for Categories A & B will be allocated 40 DAS. Vessels qualified for Categories C & D will be allocated up to 40 DAS and vessels must also be on a multispecies or scallop DAS when using a monkfish DAS.

**Open Access Permit:** This permit may be issued to any vessel not issued a monkfish limited access permit to fish for, possess, or land monkfish. **Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.**

- E** Incidental Catch - This permit will allow a vessel to retain a limited amount of monkfish depending on fishing year, area fished, and gear fished. For specific limit amounts please contact the Fisheries Information Line at (978) 281-9278.

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### ***SECTION 3: OWNER'S SIGNATURE AND RENEWAL INSTRUCTIONS***

**Please sign the form. Unsigned or otherwise incomplete applications will be returned.** Your signature is an affirmation under penalty of perjury, that all the information provided in obtaining this permit is true and correct.

#### **ADDITIONAL DOCUMENTS REQUIRED**

- 1 CERTIFICATE OF INCORPORATION, PARTNERSHIP AGREEMENT OR ANNUAL REPORTS** - If the vessel is owned by a corporation or a partnership, the following information must be submitted with the renewal form:
  - A copy of the Certificate of Incorporation must be submitted once. **Each year**, documents showing **current** corporate status and all officers and shareholders owning 25% or more of the shares in the corporation must be submitted
  - The list of corporate officers and shareholders must include their addresses (examples of acceptable documentation include Minutes from the Corporation Annual Meeting listing the names and addresses of the officers and stockholders, or a signed and dated letter from a Corporate Officer listing the names and addresses of current officers and stockholders)
  - Partnerships must submit a copy of the partnership agreement once. **Each year**, the names and addresses of all partners must be submitted
- 2 SCALLOP VESSELS OWNED** - If you are renewing a limited access sea scallop permit, you must attach a list of the following information for **all vessels** in which you have an ownership interest and that hold limited access sea scallop permits. You may use the attached form for your convenience.
  - ▶ Owner names - **Not Business or Corporate Names**
  - ▶ Vessel names and permit numbers
- 3 USCG DOCUMENTATION** - A copy of the vessel's **current** US Coast Guard Documentation or, if undocumented, **current** state registration.
- 4 CHARTER/PARTY PERMIT** - If you hold or are applying for a charter/party permit, you must submit a copy of the vessel's **current** charter/party license. A copy of one of the following documents is acceptable:
  - ▶ Current state license showing the vessel is authorized to carry charter/party passengers
  - ▶ Current Coast Guard Documentation that shows the vessel is presently documented for "Coastwise"
  - ▶ Current US Coast Guard license to operate or navigate passenger carrying vessels

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Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing & reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 1 Blackburn Drive, Gloucester, MA 01930-2298. The Paperwork Reduction Act requires that potential respondents for a fishing vessel permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits. One of the regulatory steps taken by the National Marine Fisheries Service to carry out its conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to fish for or retain these species in or from the EEZ, Section 303 (b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance. The purpose and use of these permits are to: (1) register industry participants and fishing vessels, (2) list the characteristics of fishing vessels, (3) exercise influence over compliance, (4) provide a mailing list for the dissemination of important information to the industry, (5) register participants to be considered for limited entry, and (6) provide a universe for data collection samples. Both the MSFCMA and Executive Orders 12866 et al. require the determination of this information. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



U. S. DEPARTMENT OF COMMERCE  
NATIONAL OCEANIC & ATMOSPHERIC ADMIN  
NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298



INITIAL DEALER APPLICATION

Tel: (978) 281-9370

SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) \_\_\_\_\_

Company name: \_\_\_\_\_

Owner's Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State : \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax Number: \_\_\_\_\_

\*\*Vessel Name: \_\_\_\_\_ \*\*Vessel Hull Number: \_\_\_\_\_

\*\*(must enter vessel name and hull number above if applying for Atlantic Mackerel at Sea Processor  
or Atlantic Herring Processor, if herring processing will be done aboard a vessel)

Where there are more than one place of business where the regulated species are purchased or received for commercial purposes,  
each address must be listed. List those additional addresses on the back of this form in

Section 1A.

SECTION 2 - FISHERIES

Select the fisheries desired by placing an (X) in the boxes provided. Select all fisheries that apply.

☐ Atlantic Bluefin Tuna

☐ Northeast Multispecies

☐ Scup

☐ Other Atlantic Tunas \*

☐ American Lobster

☐ Black Sea Bass

\*(Yellowfin, Bigeye, Skipjack, Albacore)

☐ Squid, Mackerel, Butterfish

☐ Monkfish

☐ Surfclam/Ocean Quahog - Dealer

☐ Atlantic Mackerel at Sea Processor\*\*

☐ Atlantic Bluefish

☐ Surfclam/Ocean Quahog - Processor

☐ Atlantic Herring Processor\*\*

☐ Spiny Dogfish

☐ Summer Flounder

\*\* (see note in Section 1)

☐ Sea Scallop

☐ Atlantic Herring Dealer

SECTION 3 - OWNER'S SIGNATURE

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, One Blackburn Drive, Gloucester, MA 01930-2298.

**SECTION 1A - ADDITIONAL DEALER INFORMATION.** If there is more than one place of business where the regulated species are purchased or received for commercial purposes, each address must be listed below.

**COMPANY ADDRESS:**

**STREET:** \_\_\_\_\_

**CITY:** \_\_\_\_\_

**STATE:** \_\_\_\_\_ **ZIP CODE:** \_\_\_\_\_

**COMPANY TELEPHONE:** \_\_\_\_\_

**COMPANY ADDRESS:**

**STREET:** \_\_\_\_\_

**CITY:** \_\_\_\_\_

**STATE:** \_\_\_\_\_ **ZIP CODE:** \_\_\_\_\_

**COMPANY TELEPHONE:** \_\_\_\_\_

**COMPANY ADDRESS:**

**STREET:** \_\_\_\_\_

**CITY:** \_\_\_\_\_

**STATE:** \_\_\_\_\_ **ZIP CODE:** \_\_\_\_\_

**COMPANY TELEPHONE:** \_\_\_\_\_

**COMPANY ADDRESS:**

**STREET:** \_\_\_\_\_

**CITY:** \_\_\_\_\_

**STATE:** \_\_\_\_\_ **ZIP CODE:** \_\_\_\_\_

**COMPANY TELEPHONE:** \_\_\_\_\_

The information requested on this form is not confidential and will be available to the general public.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

**The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.**

**Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.**

# Lobster Management Area Designation & Tag Program Application Form



1. Please complete Parts A, B and C of this form if your vessel is endorsed to fish for lobster with traps during the 2000 fishing year. If you are not ordering tags through NMFS, complete Parts A and C only.
2. Return the white copy of this form, state tax exemption form if applicable, and trap tag payment to:  
**Stoffel Seals Corporation, P.O. Box 825 - Dept. 3, Nyack, NY 10960-0825, tel. (914) 348-7188.**
3. Return the yellow copy of this form to: **NMFS Lobster Trap Tag Program, One Blackburn Drive, Gloucester, MA 01930-2298**
4. Retain the pink copy for your records. Initial tag orders will be shipped to you directly from the tag manufacturer.
5. Make a copy of this blank form for use when placing subsequent tag orders. No carbon copies are necessary for subsequent orders.
6. If you have any questions, please call the NMFS Northeast Regional Office information line at **(978) 281-9278**.

Name \_\_\_\_\_ **PLEASE PRINT** **Part A**  
P.O. Box / Street \_\_\_\_\_  
City/State/Zip \_\_\_\_\_  
Telephone Number (\_\_\_\_) \_\_\_\_\_  
Vessel Name \_\_\_\_\_, Federal Permit # \_\_\_\_\_  
Vessel Documentation # or State Registration # \_\_\_\_\_

**PLEASE CHECK ONE OR MORE OF THE FOLLOWING LOBSTER MANAGEMENT AREAS WHERE YOU WILL FISH LOBSTER TRAPS (SEE ATTACHED CHART):**

**Nearshore Management Areas\***: Area 1 - \_\_\_\_\_ Area 2 (including Area 2/3 Overlap) \*\*\*- \_\_\_\_\_

Area 4 - \_\_\_\_\_ Area 5 - \_\_\_\_\_ Area 6\*\* - \_\_\_\_\_ Outer Cape Area - \_\_\_\_\_

**EEZ Offshore Management Areas\***: Area 3 (including Area 2/3 Overlap) \*\*\*- \_\_\_\_\_

\*You may select one or more of the above Lobster Management Areas. Once you have selected the areas, you are limited to fishing in only these areas during the 2000 fishing year (May 1, 2000-April 30, 2001). The maximum trap allocation for the EEZ Nearshore Areas is 800, while the maximum amount of traps allowable in the EEZ Offshore Areas is 1,800.

\*\*Area 6 is entirely state waters and is not an EEZ management area. You must have a New York or Connecticut state lobster license to fish in Area 6. Trap allocations for this area are contingent upon state regulations. If Area 6 is selected in combination with any other area you must abide by the more restrictive of state or Federal trap limits.

\*\*\*If you select either EEZ Nearshore Area 2 or EEZ Offshore Area 3, you also have access to the Area 2/3 Overlap. If you select EEZ Offshore Area 3 and do not select any Nearshore Areas, you may fish a maximum of 1,800 traps. If you select any EEZ Nearshore Areas, or Area 3 in combination with one or more of the Nearshore Areas, you are limited to 800 traps.

**PLEASE INDICATE BELOW THE NUMBER OF TRAP TAGS YOU WISH TO PURCHASE:**

**Part B**

Note: You are not required to complete this section if you have been given the option of ordering tags from a state agency that has entered into a trap tag agreement with NMFS. To order your tags through NMFS, indicate the number of trap tags you wish to purchase in the space provided below. For the 2000 fishing year, the maximum number of tags that may be purchased for any or all EEZ Nearshore Areas is 880, while the maximum number of tags that may be purchased for EEZ Offshore Area 3 is 1,980. Area 6 is entirely New York and Connecticut state waters. Trap tag allocations for this area are contingent upon state trap limits. If you select Area 6 only, you must purchase tags from your state agency. If you select Area 6 in combination with any other management area, you must abide by the more restrictive of either state or EEZ trap limits and purchase the appropriate amount of tags using this form.

Total Number of Federal Trap Tags Requested: \_\_\_\_\_ X \$0.12 per tag = \$\_\_\_\_\_.

\* State Tax = \$\_\_\_\_\_.

Total Amount Enclosed /Authorized: \$\_\_\_\_\_.

Please indicate method of payment: \_\_\_\_\_ Visa \_\_\_\_\_ MasterCard \_\_\_\_\_ Certified Check/ Money Order

Credit Card Number: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

**Please make cashier's checks or money orders payable to: Stoffel Seals Corporation. No cash, or personal or corporate checks will be accepted. \*If tax exempt, please complete and return a tax exemption form for your state of residence. Orders received without a tax exemption certificate, or applicable sales tax, will not be processed.**

Signature \_\_\_\_\_

**Part C**

Date \_\_\_\_\_

I certify that the information provided on this form is true, complete and correct to the best of my knowledge, and made in good faith. Making a false statement on this form is punishable by law (18 U.S.C. 1001). Forms that are not signed and dated will not be processed.

WHITE COPY TO STOFFEL SEALS

YELLOW COPY TO NMFS

RETAIN PINK COPY

This collection is authorized under the Magnuson-Stevens Fishery Management and Conservation Act (16 U.S.C. 1801 et. seq.). The information will be used in the management of the American lobster fishery. One of the regulatory steps taken by NMFS to carry out its conservation and management objectives is limiting fishing vessel effort. The purpose and use of the lobster trap tagging program is to provide identification of trap ownership, and to limit the number of traps for those vessels that fish traps by issuing lobster trap tags, with a maximum number of tags for each vessel. This assures consistency throughout the fleet of affected vessels. In addition, it allows NMFS to determine the number of traps in use in the fishery to better monitor fishing effort in the future.

The information requested on this form is not confidential and will be available to the general public.

Public reporting burden for the collection of information is estimated at 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The public burden for using this form to order additional trap tags is estimated at 2 minutes. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Patricia Kurkul, Regional Administrator, Northeast Region, NMFS, One Blackburn Drive, Gloucester, MA 01930-2298.

Notwithstanding any other provision of law, no person is required to respond to, nor shall a person be subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

**THIS FORM MUST BE COMPLETED IF YOUR VESSEL WILL BE FISHING WITH GILLNETS under a MULTISPECIES DAS (day at sea) OR MONKFISH DAS during the 2000 fishing year (May 1, 2000 - April 30, 2001).**

If you have a limited access multispecies permit or a limited access multispecies permit **and** a limited access monkfish permit, you must fill out Part 1 and Parts 2 and/or Part 3 according to additional instructions.

If you have a limited access monkfish permit (and **no** limited access multispecies permit), you must fill out Parts 2 and 3.

## **PART 1**

**Limited Access Multispecies permit holders who intend to use gillnet gear under a multispecies day-at-sea must declare into one of the following gillnet category designations by selecting a category:** (please read the "Special Instructions to Gillnet Vessel Owners" if you do not know which category you should choose)

**Trip Gillnet Category** \_\_\_\_\_ If you checked Trip Gillnet Category, please complete Part 3 of this form

**Day Gillnet Category** \_\_\_\_\_ If you checked Day Gillnet Category, please complete Part 2 and Part 3 of this form

## **PART 2**

**YOU NEED TO PURCHASE GILLNET TAGS; Please indicate how many tags that you wish to purchase by filling out the following information:** (please read the "Special Instructions to Gillnet Vessel Owners" if you would like to learn more about gillnet tagging requirements)

Number of Tags Requested \_\_\_\_\_ (Not to exceed 160) @ \$1.15 each. (NOTE, an additional shipping and handling charge of \$ 5.00 must be included for orders of less than 20 tags)

Total amount enclosed \$ \_\_\_\_\_  
(Note, the total cost for 160 tags is \$ 184.00)

Name and Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone Number \_\_\_\_\_

Please make checks payable to **National Band and Tag Company** and complete Part 3 below.

**Initial Tags will be shipped to you directly from the tag manufacturer**

## **PART 3**

Vessel Name \_\_\_\_\_, Federal Permit # \_\_\_\_\_

Documentation # or State Registration # \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

If you have any questions, please call the NMFS Northeast Regional Office information line at (978) 281-9278.

Return this form and payment to:

National Marine Fisheries Service  
Permits Office  
Gillnet Program  
One Blackburn Drive  
Gloucester, MA 01930-2298

OMB Control # 0648-0202 Expires

The application to designate a gillnet category and order gillnet tags is meant to allow industry members to designate their appropriate gillnet category and order the appropriate number of gillnet tags in accordance with 50 CFR §648.4(c)(2)(iii) and §648.82(k)(1)(i). Since this requirement has been adopted as part of the effort reduction programs under the Northeast Multispecies and Monkfish Fishery Management Plans, it is viewed as consistent with the conservation goals of these FMPs.

**BURDEN STATEMENT:** Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or suggestions for reducing this burden to: Patricia A. Kurkul, Regional Administrator, Northeast Region, NMFS, 1 Blackburn Drive, Gloucester, MA 01930-2298; and to Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

The information collected on this form is not confidential and can be made available to the general public.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a current valid OMB Control Number.

### **Missing and Additional Tag Order Form**

**Instructions:** All vessels issued either a Northeast multispecies or monkfish limited access permit, and required to use gillnet tags, will be required to account for the total number of tags issued. Should tags be lost, missing, or destroyed, vessel operators must report the missing tag numbers to National Marine Fisheries Service (NMFS), as soon as possible. You may declare lost tags and/or order replacement tags, by mailing this order form with a check or money order for the total cost of the tags (@ \$ 1.15 per tag) to: NMFS Sustainable Fisheries Division, Gillnet Tag Program, 1 Blackburn Drive, Gloucester, MA 01930. **Please make checks payable to National Band and Tag Company.** Note, there is an additional shipping and handling fee of \$ 5.00 for orders of less than 20 gillnet tags. For your convenience, you may FAX your lost tag declaration or your replacement tag request to (978) 281-9135. Please be advised that your replacement tags will not be issued until payment for the tags is received by NMFS.

**Owner Name** \_\_\_\_\_ **Vessel Permit #** \_\_\_\_\_

**Vessel Name** \_\_\_\_\_

**Owner Address** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Phone Number** \_\_\_\_\_

**Identification number (s) of tags lost** (provide range of numbers if necessary; from....to)

\_\_\_\_\_

**Number of Tags Needed** \_\_\_\_\_ **Amount for tags \$** \_\_\_\_\_  
(# of tags x \$ 1.15)

**\$ 5.00 Shipping and Handling Fee** \_\_\_\_\_

(For orders of less than 20 tags)

**TOTAL AMOUNT ENCLOSED** \_\_\_\_\_

**Reason for tag loss (Optional)** \_\_\_\_\_

\_\_\_\_\_

**Signature of Applicant** \_\_\_\_\_

**Date** \_\_\_\_\_



**For reporting lost tags and requesting additional tags:**

The application to report lost tags and request additional gillnet tags is meant to allow industry members who have lost gear and/or tags to identify and therefore nullify those tags, and to acquire additional gillnet tags up to, but not exceeding the maximum number allowable. Since this requirement has been adopted as part of the effort reduction programs under the Northeast Multispecies and Monkfish Fishery Management Plans, it is viewed as consistent with the conservation goals of these FMPs. The information provided through this application will allow industry members who lose tags to obtain replacements as well as allow enforcement agents to identify tags that have been declared lost for the purposes of nullification. In this way, it is possible to restrict the number of gillnet fished by an individual permit holder and thus enforce those provision of the FMPs.

**BURDEN STATEMENT:**

Public reporting burden for this collection of information is estimated to average 3 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or suggestions for reducing this burden to National Marine Fisheries Service, Sustainable Fisheries Division, 1 Blackburn Drive, Gloucester, MA 01930.

The information collected on this form is not confidential and can be made available to the general public.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a current valid OMB Control Number.

# NORTHEAST VESSEL MONITORING PROGRAM

F/V NAME: \_\_\_\_\_

NMFS FISHERIES PERMIT NUMBER: \_\_\_\_\_

COAST GUARD DOCUMENTATION NUMBER: \_\_\_\_\_

=====

**PLEASE COMPLETE THIS FORM BY PROVIDING ALL REQUESTED INFORMATION.**

I CERTIFY THAT SUBJECT FISHING VESSEL HAS AN OPERATIONAL VMS UNIT INSTALLED BY:

PURCHASED FROM: BOATRACS

INSTALLING DEALER: NAME, ADDRESS AND TELEPHONE NUMBER:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

DATE OF INSTALLATION: \_\_\_\_\_

SERIAL NUMBER OF MCT: \_\_\_\_\_

EMAIL ADDRESS OF VESSEL: \_\_\_\_\_

VMS UNIT ACTIVATED ON VESSEL AND READY TO SEND FISHING ACTIVITY CODES? ☐ YES ☐ NO

VMS UNIT OPERATING INSTRUCTIONS SENT TO VESSEL OWNER BY VMS VENDOR? ☐ YES ☐ NO

VESSEL OWNER TRAINED ON USE OF VMS UNIT BY VMS VENDOR? ☐ YES ☐ NO

=====

I UNDERSTAND THAT THE VMS UNIT MUST REMAIN CONNECTED TO THE VMS VENDOR LISTED ABOVE AT ALL TIMES. I ALSO UNDERSTAND THAT I AM SUBJECT TO THE PROVISIONS AND REQUIREMENTS OF 50 CFR §648.9 AND §648.10 REGARDING USE OF THE VMS. IF THE VMS UNIT IS UNINTENTIONALLY DISCONNECTED AT ANY TIME, I UNDERSTAND THAT MY VESSEL WILL AGAIN BE REQUIRED TO REPORT THROUGH THE CALL-IN SYSTEM. I HAVE RECEIVED INSTRUCTIONS FROM THE VMS VENDOR LISTED ABOVE AND UNDERSTAND HOW TO OPERATE THE VMS UNIT.

=====

PERMIT HOLDER'S NAME (printed): \_\_\_\_\_

PERMIT HOLDER'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

=====

SEND THIS ORIGINAL, COMPLETED FORM TO:

NOAA FISHERIES  
OFFICE FOR LAW ENFORCEMENT  
ATTN: VMS MANAGER  
1 BLACKBURN DRIVE, ROOM 206, GLOUCESTER, MA 01930

This collection is authorized under the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1801 et. seq.). The information will be used in the management of the Atlantic sea scallop, Northeast multispecies, and monkfish fisheries by insuring compliance with VMS regulations listed under 50 CFR §648.9 and §648.10 (b). Public reporting burden for this collection of information is estimated to average 5 minutes per response. Send comments regarding this burden estimate or suggestions for reducing this burden to: NMFS, One Blackburn Drive, Gloucester, MA 01930-2298. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.

geographic data collected from state and local officials on new residential construction authorized by building permits to monitor growth and plan for local services and to develop production and marketing plans. The Building Permits Survey is the only source of statistics on residential construction for states and smaller geographic areas.

## II. Method of Collection

We collect this information by mail and electronically through files we download or receive on diskettes.

Monthly, we collect this information by mail for 8,170 permit-issuing jurisdictions and electronically for 550 jurisdictions. Annually, we collect this information by mail for 10,180 jurisdictions.

## III. Data

*OMB Number:* 0607-0094.

*Form Number:* C-404.

*Type of Review:* Regular submission.

*Affected Public:* State and local governments.

*Estimated Number of Respondents:* 18,900.

*Estimated Time per Response:* 16 minutes for monthly respondents who report by mail, 3 minutes for monthly respondents who report electronically, and 25 minutes for annual respondents who report by mail.

*Estimated Total Annual Burden Hours:* 30,716.

*Estimated Total Annual Cost:* \$507,121.

*Respondent's Obligation:* Voluntary.

*Legal Authority:* Title 13, United States Code, section 182.

## IV. Request for Comments

Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: August 1, 2000.

**Madeleine Clayton,**

*Management Analyst, Office of the Chief Information Officer.*

[FR Doc. 00-19867 Filed 8-4-00; 8:45 am]

**BILLING CODE 3510-07-P**

## DEPARTMENT OF COMMERCE

### National Oceanic and Atmospheric Administration

[I.D. 080100B]

### Northeast Region Permit Family of Forms

**AGENCY:** National Oceanic and Atmospheric Administration (NOAA).

**ACTION:** Proposed collection; comment request.

**SUMMARY:** The Department of Commerce, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995, Public Law 104-13 (44 U.S.C. 3506(c)(2)(A)).

**DATES:** Written comments must be submitted on or before October 6, 2000.

**ADDRESSES:** Direct all written comments to Linda Engelmeier, Departmental Forms Clearance Officer, Department of Commerce, Room 6086, 14th and Constitution Avenue NW, Washington, DC 20230 (or via Internet at lengelme@doc.gov).

**FOR FURTHER INFORMATION CONTACT:** Requests for additional information or copies of the information collection instruments(s) and instructions should be directed to Allison Ferreira, NMFS, 1 Blackburn Drive, Gloucester, MA 01930 (978-281-9103).

### SUPPLEMENTARY INFORMATION:

#### I. Abstract

Any individual or organization participating in Federally-controlled fisheries is required to obtain permits. The purpose and use of permits is to: (1) Register fishermen, fishing vessels, fish dealers and processors, (2) list the characteristics of fishing vessels and/or dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties), (4) provide a mailing list for the dissemination of important information to the industry, (5) register participants to be considered for limited entry, and (6) provide a universe for data collection samples. Identification

of the participants, their gear types, vessels, and expected activity levels is an effective tool in the enforcement of fishery regulations. This information is needed to measure the consequences of management controls as well. Participants in certain fisheries may also be required to notify NOAA before fishing trips for the purpose of observer placement and to make other reports on fishing activities.

## II. Method of Collection

Initial permit applications are made by form. After initial permit issuance, a pre-printed permit renewal form is generated via computer using current permit information. This form is then sent to the permit holder for updating. If no changes to the pre-printed form are required, the applicant simply needs to sign the form and return it with any other information (i.e. current state registration or Coast Guard document) required for permit renewal.

Automated reporting by means of a vessel monitoring system (VMS) is required for all vessels issued a full-time or part-time limited access sea scallop permit, or issued an occasional limited access sea scallop permit when fishing under the Georges' Bank Exemption Program, or scallop vessels fishing under the small dredge program. All remaining limited access multispecies, monkfish, and scallop vessels are required to report via a call-in system. Vessel owners issued a limited access multispecies, monkfish, occasional scallop, or combination permit may voluntarily elect to use the VMS in place of the call-in system. This reporting is required in order to monitor: (1) Usage of days-at-sea allocations, (2) compliance with vessel layover requirements, (3) compliance with "days-out-of-the-fishery" requirements, (4) compliance with closed area regulations, and (5) compliance with exempted fishery regulations.

## III. Data

*OMB Number:* 0648-0202.

*Form Number:* None.

*Type of Review:* Regular submission.

*Affected Public:* Businesses and other for-profit organizations; individuals or households; and State, Local or Tribal Governments.

*Estimated Number of Respondents:* 43,203.

*Estimated Time Per Response:* Preprinted renewal forms require an estimated 15 minutes to complete, while an initial application requires an estimated 30 minutes per response. In order to obtain an Atlantic Bluefish Vessel permit an applicant would need

to complete a separate permit application, at an estimated response time of 30 minutes. Dealer permit applications take an estimated 5 minutes to complete. The vessel operator permit application is estimated to take an average of 1 hour to complete due to the color photograph submission requirement. Limited access vessel upgrade or replacement applications take approximately 3 hours to complete. Applications for retention of limited access permit history require an estimated 30 minutes. Applicants are expected to spend approximately 3 hours gathering and presenting the documentation needed for any limited access permit appeal.

Limited access multispecies, combination, occasional scallop, and monkfish vessels must notify NOAA via the call-in system of the start date and end date for each fishing trip. The estimated time per response is 2 minutes. It is estimated to take multispecies and monkfish vessels approximately 3 minutes to declare blocks of time out of the gillnet fishery. The burden of vessel monitoring for full-time and part-time limited access scallop vessels or authorized multispecies, combination and occasional scallop vessels is estimated to be 1 hour for installation of VMS unit, 5 minutes for verification of installation of the VMS unit, and 30 seconds per poll for automated polling of vessel position. Vessels required to have a fully functional VMS unit at all times may request to turn off the VMS (power down exemption) at approximately 30 minutes per request. Requests for observer coverage are estimated to require 2 minutes per request.

Limited access vessels fishing under DAS requirements that have assisted in Coast Guard search and rescue operations or assisted in towing a disabled vessel may apply for Good Samaritan credits at a burden of 30 minutes per applicant.

Owners or operators of vessels seeking to participate in the Cultivator shoal whiting, mid-water trawl, purse seine, Nantucket shoal dogfish, Southern New England (SNE) little tunny gillnet, or SNE cod landing limit exemption programs must request a letter of authorization from the Regional Administrator (letter of authorization). The estimated time required to request a letter of authorization is 5 minutes. Vessels fishing in the NAFO Regulatory Area that wish to be exempt from multispecies regulations while transiting the EEZ with multispecies on board, or landing multispecies in U.S. ports, must request a letter of

authorization (5 minutes) in addition to possessing a valid High Seas Fishing Compliance permit under 50 CFR Part 300. A letter of authorization (5 minutes) is also required for permitted vessels intending to transfer selected species from one vessel to another as follows: Loligo and butterfish moratorium permit or Illex moratorium permit and vessels issued a mackerel or squid/butterfish incidental catch permit that intend to transfer Loligo, Illex or butterfish; vessels issued a multispecies or scallop permit that intend to transfer species other than regulated species; and multispecies vessels intending to transfer up to 500 lbs. of combined small-mesh multispecies per trip for use as bait.

Owners of charter/party vessels intending to fish in the Nantucket Lightship Closure Area must request a letter of authorization from the Regional Administrator, estimated to take 5 minutes. Vessels fishing under Charter/Party regulations in Gulf of Maine closed areas must obtain a Charter/Party Exemption Certificate for Gulf of Maine Closed Areas, at an estimated 2 minutes per request.

Owners of summer flounder vessels seeking to participate in the summer flounder small mesh exempted fishery must apply for a permit from the Regional Administrator, at an estimated 5 minutes per application. Vessels participating in the state waters winter flounder exemption must obtain a certificate approved by the Regional Administrator and issued by the state agency authorizing the vessel's participation in the exempted fishery. The request for such a certificate is estimated to take 2 minutes.

Limited access scallop vessels fishing under the scallop DAS program must request a letter of authorization, with an estimated burden of 5 minutes, in order to fish for scallops with trawl nets. Limited access sea scallop vessels wishing to participate in either the state waters DAS exemption program or the state waters gear exemption program must notify the Regional Administrator by VMS or call-in notification. Participants in the sea scallop state waters exemption programs using VMS notification must notify the Regional Administrator prior to the first trip in the exemption program and prior to the first planned trip in the EEZ, at an estimated 2 minutes per response. Participants in these exemption programs using the call-in system must notify the Regional Administrator at least 7 days prior to fishing under the exemption, at an estimated 2 minutes per call. If participants using the call-in system wish to withdraw from either

state waters exemption program prior to the end of the 7-day designated exemption period requirement, they must also call the Regional Administrator to notify of early withdrawal, at an estimated 2 minutes per call.

Surf clam and ocean quahog vessel owners or operators are required to call the National Marine Fisheries Service (NMFS) Office of Law Enforcement nearest to the point of offloading prior to the departure of the vessel from the dock. It requires approximately 2 minutes for a vessel owner or operator to notify law enforcement of the vessels departure from the dock to fish for surf clams or ocean quahogs in the EEZ.

In the lobster fishery, initial lobster area designations are estimated to take 5 minutes; requests for additional tags are estimated to take 2 minutes; and notification of lost tags is estimated to take 3 minutes.

In the Northeast multispecies fishery, a request for change in permit category designation requires approximately 2 minutes, and a request for transit to another port by a vessel required to remain in the GOM cod trip limit takes 2 minutes. For vessels fishing under the GOM cod landing limit for the monkfish fishery, an area declaration is estimated to take 3 minutes.

In the gillnet fisheries for multispecies and monkfish, the burden estimate for calling out of the fishery is 3 minutes. Gillnet category designation, including initial requests for gillnet tags, requires approximately 10 minutes. Requests for additional tags require an estimated 2 minutes. Notification of lost tags and requests for replacement tag numbers also require an estimated 2 minutes. It will take approximately 1 minute to attach each gillnet tag.

Requests for state quota transfers in the bluefish, summer flounder and scup fisheries are estimated to require 1 hour.

*Estimated Total Annual Burden Hours: 36,872.*

*Estimated Total Annual Cost to Public: \$1,138,233.*

#### IV. Request for Comments

*Comments are invited on:* (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the

use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: July 31, 2000.

**Madeleine Clayton,**

*Management Analyst, Office of the Chief Information Officer.*

[FR Doc. 00-19924 Filed 8-4-00; 8:45 am]

BILLING CODE 3510-22-P

## DEPARTMENT OF COMMERCE

### National Oceanic and Atmospheric Administration

[I.D. 072800B]

#### Marine Mammals; File No. P368D

**AGENCY:** National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Commerce.

**ACTION:** Receipt of application for amendment.

**SUMMARY:** Notice is hereby given that Dr. James T. Harvey, Moss Landing Marine Laboratories, P.O. Box 450, Moss Landing, CA 95039-0450, has requested an amendment to scientific research Permit No. 938.

**DATES:** Written or telefaxed comments must be received on or before September 6, 2000.

**ADDRESSES:** The amendment request and related documents are available for review upon written request or by appointment in the following office(s):

Permits and Documentation Division, Office of Protected Resources, NMFS, 1315 East-West Highway, Room 13705, Silver Spring, MD 20910 (301/713-2289); and

Regional Administrator, Alaska Region, NMFS, P.O. Box 21668, Juneau, AK 99802 (907/586-7221).

Written comments or requests for a public hearing on this request should be submitted to the Chief, Permits and Documentation Division, F/PR1, Office of Protected Resources, NMFS, 1315 East-West Highway, Room 13130, Silver Spring, MD 20910. Those individuals requesting a hearing should set forth the specific reasons why a hearing on this particular amendment request would be appropriate.

Comments may also be submitted by facsimile at (301) 713-0376, provided the facsimile is confirmed by hard copy submitted by mail and postmarked no

later than the closing date of the comment period. Please note that comments will not be accepted by e-mail or other electronic media.

**FOR FURTHER INFORMATION CONTACT:** Simona Roberts or Ruth Johnson, 301/713-2289.

**SUPPLEMENTARY INFORMATION:** The subject amendment to Permit No. 938, issued on February 2, 1995 (60 FR 7753) is requested under the authority of the Marine Mammal Protection Act of 1972, as amended (16 U.S.C. 1361 *et seq.*) and the Regulations Governing the Taking and Importing of Marine Mammals (50 CFR part 216).

Permit No. 938 authorizes the permit holder to take various species of marine mammals of the suborders Mysticeti, Odontoceti, Pinnipedia, and southern sea otter annually during: aerial and vessel surveys, behavioral observations, photographic identification, and VHF and TDR tagging. On August 16, 1999 the permit was amended to include authorization to place implantable and surface VHF tags and TDRs on up to 20 killer whales (*Orcinus orca*) off the California coast. The permit holder now requests authorization to place implantable VHF and TDR tags on up to 8 killer whales in southeast Alaska.

In compliance with the National Environmental Policy Act of 1969 (42 U.S.C. 4321 *et seq.*), an initial determination has been made that the activity proposed is categorically excluded from the requirement to prepare an environmental assessment or environmental impact statement.

Concurrent with the publication of this notice in the **Federal Register**, NMFS is forwarding copies of this application to the Marine Mammal Commission and its Committee of Scientific Advisors.

Dated: August 1, 2000.

**Ann D. Terbush,**

*Division Chief, Permits and Documentation Division, Office of Protected Resources, National Marine Fisheries Service,*

[FR Doc. 00-19925 Filed 8-4-00; 8:45 am]

BILLING CODE 3510-22-F

## DEPARTMENT OF DEFENSE

### Defense Contract Audit Agency

#### Privacy Act of 1974; Systems of Records

**AGENCY:** Defense Contract Audit Agency, DOD.

**ACTION:** Notice to Amend Records Systems.

**SUMMARY:** The Defense Contract Audit Agency is amending two systems of

records notices in its inventory of record systems subject to the Privacy Act of 1974 (5 U.S.C. 552a), as amended. DCAA is also updating its address directory.

**DATES:** The actions will be effective on September 6, 2000 unless comments are received that would result in a contrary determination.

**ADDRESSES:** Send comments to Defense Contract Audit Agency, Information and Privacy Advisor, CMR, 8725 John J. Kingman Road, Suite 2135, Fort Belvoir, VA 22060-6219.

**FOR FURTHER INFORMATION CONTACT:** Mr. Dave Henshall at (703) 767-1005.

**SUPPLEMENTARY INFORMATION:** The Defense Contract Audit Agency notices for systems of records subject to the Privacy Act of 1974 (5 U.S.C. 552a), as amended, have been published in the **Federal Register** and are available from the address above.

The proposed actions are not within the purview of subsection (r) of the Privacy Act (5 U.S.C. 552a), as amended, which would require the submission of a new or altered system report for each system. The specific changes to the record systems being amended are set forth below followed by the notices, as amended, published in their entirety.

Dated: July 31, 2000.

**L. M. Bynum,**

*Alternate OSD Federal Register Liaison Officer, Department of Defense.*

#### RDCAA 160.5

##### SYSTEM NAME:

Travel Orders (*May 18, 1999, 64 FR 26947*).

##### CHANGES:

\* \* \* \* \*

##### CATEGORIES OF RECORDS IN THE SYSTEM:

Delete 'bills of lading, vouchers, contracts' and insert 'transportation authorization, agreements/contracts'.

\* \* \* \* \*

#### RDCAA 160.5

##### SYSTEM NAME:

Travel Orders.

##### SYSTEM LOCATION:

Headquarters, Defense Contract Audit Agency, 8725 John J. Kingman Road, Suite 2135, Fort Belvoir, VA 22060-6219; DCAA Regional Offices; and field audit offices, whose addresses may be obtained from their cognizant regional office. Official mailing addresses are published as an appendix to the agency's compilation of record system notices.